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# Fund Raising in Private Higher Education: An Analysis of the Role of the Development Officer as Administrator at Selected Institutions

Louis Samuel Coloia  
*Loyola University Chicago*

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FUND RAISING IN PRIVATE HIGHER EDUCATION: AN ANALYSIS  
OF THE ROLE OF THE DEVELOPMENT OFFICER AS  
ADMINISTRATOR AT SELECTED INSTITUTIONS

by  
Louis S. Coloia, Jr.

A Dissertation Submitted to the Faculty of the Graduate School  
of Loyola University of Chicago in Partial Fulfillment  
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With deepest affection and respect, this dissertation is dedicated to Malcolm Drummond Wyman and Ann Kemp Wyman. Because of their abiding faith in the author, the degree of Doctor of Philosophy has become a reality.

## VITA

The author, Louis Samuel Coloia, Jr., is the son of Louis Samuel Coloia and Angeline (Clementi) Coloia. He was born August 16, 1945, in Chicago, Illinois.

His elementary education was obtained at Saint William Grade School, Chicago, Illinois, and secondary education at Saint Patrick High School, Chicago, Illinois, where he graduated in 1963.

In September, 1963, he entered Saint Mary's College, Winona, Minnesota, and in May, 1967, received the degree of Bachelor of Arts, summa cum laude, in Communication Arts. In January, 1969, he received his Master of Arts in Speech from the University of Wisconsin, Madison, after having been awarded a National Defense Education Act Fellowship.

He began his teaching career in 1969 at Saint Mary's College, Winona, Minnesota. In 1973 he became director of Development at Brady High School, Saint Paul, Minnesota. In 1975 he returned to Saint Mary's College as an assistant to the president.

In 1977 he enrolled in the Graduate School of Loyola University of Chicago and pursued doctoral studies while functioning as a research assistant in the Department of Administration.

The author is currently serving as the Director of Public Relations and Community Education at Saint Francis Hospital, Evanston, Illinois.



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## CHAPTER I

### INTRODUCTION

Private higher education in the United States is entering a most difficult chapter in a history which began three hundred and forty-three years ago with the founding of Harvard College.

Agencies such as the National Institute of Education, the Carnegie Commission on Policy Studies, and the Council for the Advancement and Support of Education have outlined the challenges facing private higher education from now until the end of the century.

1. Double digit inflation.
2. A diminishing pool of traditional eighteen-year-old applicants.
3. Older facilities in need of substantial renovation.
4. Increasing public skepticism as to the value of a college degree as an indicator of earning capacity.
5. Increasing competition from the public sector for philanthropic support.<sup>1</sup>

Private higher education in the United States has been molded and influenced by a variety of historical forces. On the one hand, there are the patterns and traditions of higher learning which had been transported from Western Europe, England, and Scotland. On the other, there existed native American conditions which affected and modified

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<sup>1</sup>Jay Noell, ed., The Condition of Education, Washington, D.C.: (The National Institute of Education, 1978), pp. 102-103.

the development of these transplanted institutions. Out of the interaction of these two essential elements and, most important, out of the growth of democracy in every area of American life, has developed a truly unique system of higher education.

Rudney states:

As the country was settled, communities existed before governments were there to care for public needs... The practice of attending to community needs outside of government has profoundly shaped American society and its institutional framework. While in most other countries, major social institutions such as universities, hospitals, schools, libraries, museums, and social welfare agencies are state run and state funded, in the United States many of the same organizations are privately controlled and voluntarily supported. This vast array of private organizations has long been widely recognized as part of the very fabric of American life. It reflects a national belief in the philosophy of pluralism and in the profound importance to society of individual initiative. Underpinning these organizations is the practice, and in the case of many Americans, a deeply ingrained habit of philanthropy, of private giving, which provides the resource base for the private organization.<sup>2</sup>

An investigation into the history of American private higher education reveals such key elements as (1) a genesis in the English models of Oxford and Cambridge, with a later influence of the post-Reformation Scottish institutions at Aberdeen, Glasgow, and Edinburgh, (2) the dominant influence of religious denominations in terms of administration and instruction to produce a clerical and political leadership, and (3) the crucial role of philanthropy in insuring the viability of private higher education.

According to Rudolph:

Higher education in the colonies, beginning with Harvard College, could not have begun without the active support of a nucleus of

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<sup>2</sup>Gabriel G. Rudney, Giving In America, (Washington, D.C.: United States Commission on Private Philanthropy and Public Needs, 1975), p. 9.

Cambridge and Oxford trained gentlemen who stoutheartedly refused to yield an inch to pioneer prejudices or frontier values... Their purposes were complex, but among other things, they intended to re-create a little bit of old England in America. They did what people a long way from home often do, and certainly what Englishmen have often done. If it was the most natural thing in the world for an officer of the colonial service in the nineteenth century to dress for dinner in the jungle as if he were dining at his club in London, it was no less natural for the Englishmen of early Massachusetts to found themselves a college, an English college such as those they had known at Oxford but particularly at Cambridge...<sup>3</sup>

The English Americans were determined that their children should preserve those aspects of Old World Civilization which their fathers held to be all important. On achieving this aim of the transmission and preservation of intellectual culture, higher education was the most valuable tool that lay at hand.

The founders of Harvard took for granted the essential continuity of Western learning-- the direct link between the Colonial American college and earlier institutions, such as the school of Hebrew prophets, the Acadamey of Athens, the Palace School of Charlemagne, the medieval universities, and the reformation academies.

In almost every case, however, the English colonists eventually found that the unique condition of the American physical and social environment, specifically the vast frontier and increased heterogeneity of the American population, produced unexpected changes and modifications in their academic institutions.

Other modifications were due mainly to Scottish influence. The post-Reformation Scottish universities, unlike Oxford or Cambridge, were nonresidential, professionally orientated, and under the control, not of the faculty, but of prominent lay representatives of the com-

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<sup>3</sup>Frederick Rudolph, The American College and University: A History, (New York: Random House, 1962), p. 4.

munity. (In a more modern era, the founding of the great American research universities in the 1870's have their historical antecedents in both the German universities and the earlier Scottish universities.)

Essentially, the desire of important religious denominations, such as the Puritans, Presbyterians, Baptists, and Dutch Reformed, was for a literate, college-trained clergy. This desire was probably the most important single factor explaining the founding of the colonial college, and was the central element in the transfer of learning and intellectual culture as seventeenth century Englishmen saw it. The Christian tradition was the foundation stone of the whole intellectual structure which was brought to the New World as evidenced by the founding of (1) Harvard College, 1636, Puritan; (2) College of William and Mary, 1693, Anglican; (3) Yale College, 1701, Puritan; (4) College of New Jersey at Princeton, 1746, Presbyterian; (5) College of Rhode Island, 1765, Baptist; and (6) Queens College, 1766, Dutch Reformed.

It was equally important to keep in mind that the early colleges were not set up solely to train ministers. According to Brubacher and Rudy:

Their charters make it amply clear that from the very beginning it was intended that they also educate professional men in fields other than the ministry and public officials of various kinds. The civil society would thus get educated orthodox laymen as its leaders; the church would get educated orthodox clergymen as its ministers. This was the ideal which colonial higher education hoped to attain.<sup>4</sup>

An account of the early organization and administration of the

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<sup>4</sup>John S. Brubacher and Willis Rudy, Higher Education In Transition: A History of American Colleges and Universities, 1636-1976, (New York: Harper and Row, 1976), p. 6.

colonial college would be incomplete without some attention to its financial structure in general and to the role of philanthropy in particular.

The financial structure of the colonial colleges reflect the private character of these institutions. The colonial colleges considered themselves private foundations. They accepted public grants but never surrendered control over policy formation, not even under state gained ex officio representation on some boards of control. The private character was maintained even after the famous Dartmouth College case of 1819 when the New Hampshire legislature attempted to compromise the private status of Dartmouth College and thereby assume control of the institution by an agency of the state through the incorporation process.

Though some support came from state subsidies, these subsidies were never enough to meet the expenses of maintaining the colonial colleges. Philanthropy, from individuals and groups, helped to insure the viability of the colonial colleges and, as we shall see later on, has been a fundamental element in the three hundred and forty-three year history of private higher education in America.

According to Brubacher and Rudy:

The colleges were constantly seeking subscriptions. The most handsome of these, of course, came from England. The famous New England's First Fruits, from which so much is learned of early colonial life, was really intended as a promotion pamphlet to solicit funds from the mother country... In addition to political ties sectarian sympathies also promoted gifts, such as those made to Yale by Bishop Berkeley of England. American gifts, while steady, were seldom large, the largest being \$15,555 to King's College. Some benefactors gave what was most plentiful in this country, land, but values were low and rents



difficult to manage if lands were distant from the beneficiary.<sup>5</sup>

Boorstin reviews the role of philanthropy from the colonial period to modern times. His focus is the significant contribution made by individual benefactors, always a fundamental element in an analysis of funds for private higher education. He stated:

The earliest American private colleges-- Harvard, Yale, Princeton, Dartmouth, Amherst-- had been founded with relatively small capital sums, aided later by generous public grants and by the modest philanthropy of their loyal sons. Then the booster colleges before the Civil War had depended on the meager resources of the denominations or on piecemeal support from local communities. The late years of the nineteenth century saw educational philanthropy on a new scale. In 1873 Johns Hopkins, from the fortune he had made as a commission merchant, banker, ship owner, and as the largest individual stock holder in the Baltimore & Ohio Railroad, bequeathed \$7 million dollars to found the Johns Hopkins University and the Johns Hopkins Hospital... Andrew Carnegie, from his steel millions, founded the Carnegie Institution (1902 to promote research, the Carnegie Foundation for the Advancement of Teaching (1905), and the Carnegie Corporation (1911) for science and the humanities. Leland Stanford, out of the fortune he made in Western railroads, founded Leland Stanford, Jr. University in the memory of his son, and left it an additional \$2.5 million dollars at his death. John D. Rockefeller, from his Standard Oil profits, gave \$10 million dollars in 1891 to found the University of Chicago. James B. Duke, who built the American Tobacco Company, in 1924 created a trust,<sup>6</sup> valued at some \$100 million dollars to establish Duke University.

Private higher education in the United States has been perennially dependent upon various forms of giving in order to supplement funds generated from tuition and fees-- the largest single source of operations revenue.

A detailed treatment of the historical development of private higher education and sources of revenue derived from philanthropy will be presented in the following chapter.

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<sup>5</sup>Ibid, p. 36.

<sup>6</sup>Daniel J. Boorstin, The Americans: The Democratic Experience, (New York: Random House, 1973), pp. 488-489.

Throughout the history of American private higher education, a variety of programs and techniques have been developed to provide non-tuition revenue. Such programs and techniques include (1) capital campaigns; (2) annual funds; (3) foundation grants; (4) estate/bequest giving; and (5) government, (primarily federal), grants. All such programs and techniques come under the heading "fund raising."

As fund raising for private higher education became more complex and more an integral element in the viability of each institution, there developed a proportionate need for administration of the fund raising area.

An historical review of the organizational structure of the private college or university reveals areas of administrative responsibility, based upon the specialization of task and its attendant professional preparation.

Most institutions of higher learning, whether public or private, divide the administrative responsibility into four major areas which include (1) academics; (2) student services; (3) finance; and (4) development and public relations. (Examples of organizational charts from private colleges and universities around the United States are included in the Appendix.) The focus of this study is upon the development and public relations area.

As administration became more sophisticated, there evolved a definite role, or "accumulation of tasks," associated with a single administrator-- the development officer.

### Purpose

The study is concerned with fund raising for private higher education in general and the role of the development officer in particular.

An attempt was made to give an introduction to philanthropy in American higher education which would serve as a context within which to analyze the evolutionary role of the development officer. Evolutionary seems an appropriate word to describe an "accumulation of tasks" which have become associated with a designated administrator within the organizational structure of a particular institution.

From the colonial period to the present the solicitation of gift monies has been crucial to the survival of private colleges and universities. Contemporary fund raising programs find their historical antecedents in the often rudimentary efforts of the college president. Rudolph states:

In 1811 the Reverend John W. Browne, who believed deeply in the new Miami University in Ohio, set out on a trip to raise funds and a library. His visit to James Madison at the White House was unproductive, but he picked up a five-volume history of Ireland from a senator from Kentucky, in the state of Delaware he collected \$22.00, the good president from Princeton gave him \$5.00 and from old John Adams at Quincy there were kind words, two books, and \$10.00. All in all a wagonload of books and \$700.00 for the new college in Ohio. A few weeks later the Reverend Browne, on a preaching mission, slipped as he crossed the Little Miami River and was drowned.<sup>7</sup>

The July 29, 1979, issue of the CHICAGO SUN TIMES reported that Notre Dame University received a \$10 million dollar grant from the Kellogg Foundation. This grant represents a long fund raising journey, both in quality and quantity, since Reverend Browne's

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<sup>7</sup>Rudolph, op. cit., p. 45.

fateful trip down the Little Miami River in 1811.

Both the following review of pertinent literature and questionnaire/interview response presentation suggest that the president is still actively involved in the solicitation of gift monies. But the evidence is exceedingly clear that it is the development officer who is now charged with the responsibility to oversee the entire fund raising effort and it is this responsibility which ultimately served as the basis for this study.

The purpose of this study is to analyze the role of the development officer, i.e., the designated administrator responsible for fund raising at a particular private institution of higher learning, as that role relates to six administrative functions identified by Benjamin E. Sprunger as (1) planning; (2) organizing; (3) staffing; (4) leading; (5) evaluating; and (6) developing.<sup>8</sup>

The study was guided by the following major questions:

1. What do the authorities say are appropriate activities of the development officer as related to the aforementioned administrative functions?
2. What are the current practices of the development officer in relation to the aforementioned administrative functions?

Once these two major questions were explored and answered, the results were analyzed in the following manner:

1. A comparison of what the authorities say should be appropriate activities related to the administrative functions,

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<sup>8</sup>Benjamin E. Sprunger, Handbook for College Administration, (Washington, D.C.: Council for the Advancement of Small Colleges, 1978).

and what is current practice by the development officer in the context of Sprunger's definitions.

2. An analysis of the current administrative practices of the development officer in terms of their implications upon fund raising in private higher education.

### Procedure

Benjamin E. Sprunger developed an administrative model for the Council for the Advancement of Small Colleges in 1978. This model articulated six administrative functions.

Planning can help a college or university become more responsive to the changing needs of the student market place. Planning refers to the effective and efficient realization of the goals of the institution. Subsumed under this realization are factors such as staff selection/evaluation, policy formulation/implementation, and resource allocation. Ultimately, planning reverts back to the mission of the institution. Mission is defined as "the general purpose and philosophy which explains in the most inclusive terms possible the institution's reason for existence and the clientele it is meant to serve."

Organizing provides a structure to accomplish tasks efficiently and in coordination in order to meet predetermined goals and objectives. This is done by defining systems and relationships, establishing divisions of labor, assigning duties, and delegating authority. While a number of factors affect organizational structures, such as the size of the college or university, type of educational

program, students to be served, and available resources, it is important that the organizing process develop directly from the institution's mission, goals, and objectives.

Staffing refers to personnel selection, placement, and morale . as fundamental to the realization of institutional goals and objectives. The staffing dimension includes (1) personnel planning and forecasting; (2) formulating job specifications and position descriptions; (3) locating individuals who fit these specifications; (4) assessing applicants against the specifications and selecting the final candidate; and (5) selling the final candidate on the job.

Leading refers to motivating others to work together toward a common goal of the institution. The essence of leadership in the institution is the ability to meld the priorities and goals of the institution to those of faculty and staff. Institutional missions are achieved by people, and it is administrative leadership that coordinates the functions necessary to reach the mission and its related goals.

Evaluating within the institution refers to functions which include (1) a determination of personnel decision regarding retention, promotion, and salary; (2) a basis for administrative development which incorporates observation, diagnosis, and training; (3) a linkage to the identification and measurement of specific objectives through an MBO/R (Management by Objectives/Results), program; (4) a basis for team building procedures and the sharing of evaluative data in constructive and problem-solving applications; (5) a basis for determination of the strengths and weaknesses of the administrative staff;

(6) a means of providing information to governing boards and chief administrators about the degree of congruence between declared institutional policy and actual administrative action; (7) a linkage relative to the need for accountability throughout a college or university; (8) a basis used to convince both internal and external audiences that administrators not only perform effectively but perform functions necessary and essential to the institution; and (9) a basis to aid in the research and development needed to determine factors that influence an institution's effectiveness.

Developing refers to the vital role of personal, professional, and organizational development in a comprehensive personnel program and contains phases which include (1) the administrator's self assessment which contains a statement of his personal and professional goals, identification of his professional strengths and weaknesses, and clarification of his values, attitudes, and concerns as they relate to his assignments and his co-workers; (2) an examination of the administrator's expectations on his job, evaluation of his competencies on the job, and an analysis of his job related motivation; and (3) the achievement of personal, professional, and organizational change.

The Sprunger model served as the fundamental tool from which the study proceeded. Data retrieved from the literature and the questionnaire/interview process were organized and classified according to each of the six administrative functions.

The collection of data for this study was divided into three steps. The first step included a review of pertinent literature.

A reference was made to the "evolutionary" role of the

development officer. The study is, therefore, concerned with the conditions and influences which contributed to the designation of a single administrator responsible for the fund raising program. Two complementary trends were investigated: first, philanthropy in American private higher education and second, the emergence of the development officer as administrator.

Information for the aforementioned investigation was gathered from (1) texts and periodicals related to higher education; (2) documents secured from private foundations engaged in educational philanthropy; and (3) personal interviews with recognized authorities in the field of fund raising.

The second step included the development, validation, and dissemination of an indepth questionnaire related to contemporary applications of the administrative practice articulated in the Sprunger model.

The questionnaire, (a copy of which appears in the Appendix), was developed to gather the necessary data related to the day-to-day activities of the development practitioner and practices contained in the Sprunger model. The questions were grouped by category under the appropriate administrative practice.

The basic design for the questionnaire, including a rough draft of the individual questions, was submitted for review and validating to three experts in the field of fund raising who would not be included in the sample population. Comments for improvement were incorporated into the actual instrument used in this study.

An example of an improvement made subsequent to the expert



review was the inclusion of an introductory section which dealt with the personal, educational, and professional background of the respondent.

The sample population included only those development officers responsible for the fund raising program at their particular institution. The criteria utilized in selecting the sample population were related to the institution's identification as (1) one which is private and/or sectarian in governance; (2) based upon the liberal arts curricular tradition; and (3) functions at the four year college or university level.

The CASE Membership Directory provided the names of development officers and the requisite information about their institutions.<sup>9</sup> Institutions included in the sample population are located in all parts of the continental United States.

The third step included an indepth personal interview with the development officers of five institutions selected for a case study analysis. This type of analysis was selected as a means of (1) elaborating upon the information provided by these five respondents; and (2) comparing the responses of the five case study selectees to those from the broader national sample to determine similarities, differences, and discernible trends.

Van Dalen<sup>10</sup> and Best<sup>11</sup> both indicated that people, for the most

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<sup>9</sup>Tillie W. Segadelli, ed., CASE Membership Directory, (Washington, D.C.: Council for Advancement and Support of Education, 1979).

<sup>10</sup>Deobald Van Dalen, Understanding Educational Research: An Introduction, (3rd ed; New York: McGraw-Hill, 1973), p. 329.

<sup>11</sup>John Best, Research in Education, (2nd ed; Englewood Cliffs, New Jersey: Prentice Hall, 1970), p. 186.

part, are more willing to communicate orally than in writing. As Best said:

After the interviewer gains rapport, or establishes a friendly secure relationship with the subject, certain types of confidential information may be obtained that an individual might be reluctant to put in writing.<sup>12</sup>

Although Best viewed the interview as a kind of oral questionnaire, the interview may be thought of as involving more than a questionnaire.

Good indicated several values of the interview as compared with the questionnaire.<sup>13</sup> Among them, in addition to the stimulus provided by the interview to retrieve personal and confidential information, were that the facts that the interviewer could follow up leads and clues in a manner not possible by a questionnaire. The interview technique then made it possible for the person conducting the interview to form an impression of the answers and interpret things that were left unsaid. Issac listed the following advantages of an interview: (1) it permits greater depth, (2) it permits probing for more complete data, (3) it makes rapport possible with the respondent, and (4) it provides a means of checking the effectiveness of communication.<sup>14</sup> For all the reasons above, the interview technique was chosen as a follow-up to the questionnaire.

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<sup>12</sup>Ibid., p. 187.

<sup>13</sup>Carter Good, Introduction to Educational Research, (2nd ed.; New York: Appleton-Century-Crofts, 1963), p. 288.

<sup>14</sup>Stephan Issac, Handbook in Research and Education, San Diego: Robert R. Knapp, 1971), p. 96.

### Limitation

Most studies contain limitations. This study is no exception. The population selected is representative of the private institutions of higher learning in the United States. And a reasonable attempt was made to select a sample population in adherence to the stated criteria and upon the basis which reasonable conclusions could be drawn. Obviously, there can be no assurance or absolute claim that the study had applicability beyond its population.

Another limitation is the method of obtaining the data-- namely the questionnaire/interview method. Even though an attempt was made to maintain objectivity in the interview instrument, there were factors which may have altered the responses of the respondents.<sup>15</sup> The survey interview can temporarily lift the respondent out of his own social context which may make the results of the survey invalid. The interview is a special event in the ordinary life of the respondent.<sup>16</sup> This unique experience may affect the respondent so that he talks to and interacts with the interviewer in an unnatural manner. He is not himself, so to speak, which makes it a necessity for the interviewer to limit the effects of lifting the respondent out of the social context by skillful handling, especially by careful phrasing of the question.<sup>17</sup>

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<sup>15</sup>Van Dalen, op. cit. p. 329.

<sup>16</sup>Fred N. Kerlinger, Foundation of Behavioral Research, (2nd ed., New York: Holt, Rinehart, and Winston, Inc., 1973), p. 423.

<sup>17</sup>Edward Maccoby, The Interview: A Tool of Social Science, Handbook of Social Psychology, (Cambridge: Addison Wesley, 1954), pp. 449-481.

Other limitations may have included variations in the degree of openness, bias, and unusual characteristics of the interviewer. There was also further danger in the subtle but often unconscious visual or vocal cues given by the respondent. The opinion and attitude of the interviewer and his expectations of the respondents' opinions and attitudes could influence the answers that were given and how they were recorded.<sup>18</sup>

Issac warned of the possibility of the problem of subjectivity and personal bias arising by indicating an eagerness of the respondent to please the interviewer, a vague antagonism that sometimes arises between the interviewer and the respondent, and the tendency of the interviewer to seek out answers that support his preconceived notions.<sup>19</sup>

There was an attempt to minimize the possibility of these preconceived notions occurring by refining the questionnaire during the validation process, and by being aware of the potential for personal bias during the interviewing process.

An introduction, the purpose of this study, the procedure, and limitations have been presented in this chapter. Before an analysis of the role of the development officer as administrator can be undertaken, a study of what authorities in private higher education have said about philanthropy and the role of the development officer must be undertaken. This study, contained in a review of pertinent literature, is presented in the following chapter.

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<sup>18</sup>Van Dalen, *op. cit.*, p. 330.

<sup>19</sup>Issac, *op. cit.*, p. 96.

## CHAPTER II

### REVIEW OF PERTINENT LITERATURE

The purpose of this study is to analyze the role of the development officer as administrator, utilizing the six administrative practices articulated in the Sprunger model.

Mention was made earlier of the evolutionary nature of the role of the development officer. As the organizational structure of the administration in private higher education became more sophisticated, the complexities of generating and administering various sources of non-tuition revenue became the responsibility of a single designated administrator.

The purpose of this chapter are three: (1) to present an historical overview of philanthropy and governmental support in American higher education both public and private, (2) to trace the evolutionary process in administration culminating in the designation of the development officer as responsible for the fund raising program at a particular institution, and (3) to offer authoritative statements relative to the role of the development officer in planning, organizing, staffing, leading, evaluating, and developing.

#### Historical Overview of Philanthropy and Governmental Support in American Higher Education

The historian Daniel Boorstin writes that the modern history of American private higher education is replete with examples of

substantial philanthropic generosity. Through the generosity of Leland Stanford, Stanford University was founded in 1891.<sup>1</sup> Through the generosity of James B. Duke, Duke University was founded in 1924.

Rudolph writes of the historical antecedents of such largesse.<sup>2</sup> The Collegiate School in Connecticut, which was to become Yale College was chartered in 1701. For fifteen years it had severe financial problems. But in 1716 the town fathers of New Haven proceeded to make an appeal to Elihu Yale, a Boston born Englishman who was living in London amid "the magnificent oriental plunder" of his days with the East India Company at Madras. Rudolph quotes the appeal made to Yale:

The affairs of our school hath been in a condition of Pregnancy: Painfull with a witness have been the throwes thereof in this General Assembly; but we just now hear, that after the violent pangs threatening the very life of the babe, Divine Providence as a kind obstetrix hath mercifully brought the babe into the world, and behold a man-child is born, whereat we all rejoice.<sup>3</sup>

Cotton Mather, of the Harvard Corporation, disgruntled at the religiously liberal turn of events at Harvard, wrote to Elihu Yale reminding him that the time was at hand for him to give serious account of his responsibility of stewardship. (The notion of stewardship as the foundation for philanthropy is traced to its earliest Calvinist roots in Colonial America by Gutek. Gutek states that the stewardship theory of wealth requires wealthy men to act as economic guardians,

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<sup>1</sup>Daniel J. Boorstin, The American: The Democratic Experience, (New York: Random House, 1973), p. 489.

<sup>2</sup>Frederick Rudolph, The American College and University: A History, (New York: Random House, 1962), pp. 8-9.

<sup>3</sup>Ibid., p. 9.

using their resources for the public welfare.<sup>4)</sup>

Mr. Yale, despite his great wealth, responded with a quantity of assorted dry goods which in the end realized only \$550 in the American market and placed a new name on the American collegiate landscape.

Rudolph sums up his commentary on early examples of philanthropy in support of private higher education by stating:

The American College, therefore, was an expression of Christian charity, both in the assistance that it gave to needy young men and in the assistance that it received from affluent old men. While the colonial economy could not support philanthropy of the dimension that founded colleges at Oxford and Cambridge, individual benevolence was nonetheless in the English tradition... John Harvard and Elihu Yale, while not founders of the colleges that took their names, were the first substantial private benefactors of collegiate education in New England and the first scholarship fund given to an American college was an act of Christian benevolence on the part of Lady Anne Mowison whose maiden name had been Radcliffe.<sup>5</sup>

Thus, though colonial life was poor, the tradition which supported the English college in England was not abandoned in the New World. This tradition was encouraged by the vital sense of stewardship nurtured by the Christian denominations.

From this concept of stewardship would flow many of the grants/requests that sustained the American college, until in combination with the great fortunes which opportunity in America underwrote, there would emerge in the second half of the nineteenth century institutions which were the creation of a single originating donor:

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<sup>4</sup>Gerald Lee Gutek, An Historical Introduction to American Education, (New York: Thomas Y. Crowell Company, 1979), p. 54.

<sup>5</sup>Rudolph, p. 178.

Vassar, Smith, Johns Hopkins, Stanford, Chicago, and Wellesley.<sup>6</sup>

Throughout modern history the underlying motivation for philanthropy has been the subject of debate. But whether the motivation has been a sincere adherence to the Calvinist notion of stewardship, or a more insidious form of generosity, donors, either individual or foundation, have made substantial monies available to institutions such as private colleges and universities. The historical range of such generosity runs from Elihu Yale's gift of £550 to the Collegiate School in Connecticut in 1716 to the aforementioned Kellogg Foundation grant of \$10 million to Notre Dame University in 1979.

Boorstin contributes to the discussion of motivation for philanthropy when he states:

This remarkable pattern-- the makers of large fortunes generously supporting institutions of higher learning-- attested to an American orthodoxy. If the new millionaires had second thoughts about their techniques of amassing their fortunes, if they were troubled by the accusations of the Muckrakers, Populists, and Progressives, perhaps here was their way to salvation. Just as Henry VIII devoted his takings from the confiscated monasteries to the founding of Trinity College, now, too, men of great wealth who wanted admission to the democratic heaven, or at least hoped for an honorary degree as absolution from their industrial sins, made munificent gifts for educational cathedrals.<sup>7</sup>

Brubacher and Rudy tract the pattern of philanthropy from the Civil War period to a period in modern history in which the private foundation becomes a dispenser of significant amounts of grant money.

These authors suggest that it was a rapidly rising standard of living predicated on the unprecedented exploitation of the country's rich natural resources after the Civil War that made possible the tidal

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<sup>6</sup>Rudolph, p. 178.

<sup>7</sup>Boorstin, pp. 489-490.



wave of students which inundated colleges in the twentieth century. A great influx of students required vast expansion of the physical plants at private institutions. This vast expansion required the generation of significant amounts in capital dollars.

Between 1870 and 1890 the number of high schools quintupled. Twenty years later the 2,500 high schools existing in 1890 had become 10,000 and in another two decades 24,000. While the population as a whole rose 60 per cent between 1900 and 1940, the secondary school population rose 1,200 per cent.<sup>8</sup>

Endowment income became a crucial source of non-tuition revenue during this period marked by the Civil War. Charles Thwing, college president and historian of higher education suggested:

...At the beginning of the nineteenth century the total productive funds for 'all' institutions of higher learning then in existence amounted to less than a half a million dollars. Between the Revolutionary and Civil Wars the record discloses only about a dozen large gifts for the use of higher learning and these ranged between \$20,000 and \$175,000. When Princeton made a drive in 1830 for \$100,000, an ambitious undertaking in those days, the largest single gift was \$5,000.<sup>9</sup>

According to Curtis and Nash, the generosity of the pre-Civil War givers was quite eclipsed by that of the post-Civil War givers.

They state:

Rapid industrialization in the balance of the century resulted in a number of large personal fortunes, some of which were dedicated to higher learning. Ezra Cornell started the college that bears his name with \$500,000 and in a single gift matched the total endowment of all colleges at the opening of the century. Cornelius Vanderbilt gave \$1,000,000 for the institution named after him.

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<sup>8</sup>John S. Brubacher and Wills Rudy, Higher Education In Transition: A History of American Colleges and Universities, 1636-1976, (New York: Harper and Row, 1976), pp. 376-397.

<sup>9</sup>Charles F. Thwing, A History of Higher Education in America, (Englewood Cliffs, New Jersey: Prentice Hall, 1976), Chap. 14.

Johns Hopkins bequeathed \$3,500,000 to start Johns Hopkins. Here in a single gift was an endowment which matched the endowment it had taken Harvard almost 250 years to accumulate. But greater munificence was yet to come. Stanford University commenced with a memorial gift from Leland Stanford of \$20,000,000, and Chicago ultimately became the beneficiary of \$30,000,000 of the Rockefeller fortune.<sup>10</sup>

Hollis reveals that in the twentieth century large-scale giving took a different turn:

Not millions but now hundreds of millions of dollars were poured into philanthropic foundations by men like Carnegie, Rockefeller, and Ford, to mention but three of the most notable givers. These foundations spent their income and sometimes their principal, not to found new institutions, but to strengthen older ones and sometimes modify their direction. In disbursing their funds they tried to develop policies which would be constructive and not just palliative. One such early policy made gifts conditional on institutions' matching them with funds raised by themselves. This policy tended to enlarge not only the total fund but also the circle of contributions.<sup>11</sup>

Another policy developed by foundations called for concentrating disbursements in wealthy and heavily populated areas in order to add force to the effectiveness of the gift. Coffman<sup>12</sup> and Omwake speak to this policy.

Omwake suggests that there was criticism of this policy. He says:

By the 1930's twenty universities were receiving 75 per cent of all foundation grants, the remaining 25 percent going to 310 institutions, leaving 700 others without any subsidy at all... As time passed foundations altered their policies so as to subsidize not so much institutions as ideas, such as Swarthmore's 'honors' program. Here they were interested in demonstrating

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<sup>10</sup>Merle Curtis and Roderick Nash, Philanthropy in the Shaping of American Higher Education, (New Brunswick, New Jersey: Rutgers University Press, 1965), p. 112.

<sup>11</sup>Ernest V. Hollis, Philanthropic Foundations and Higher Education, (New York: Columbia University Press, 1968), p. 201.

<sup>12</sup>Lotus D. Coffman, "Foundation Support", AAUP Bulletin, Vol. 17, May, 1931, p. 378.

the feasibility of an idea and then pulling out, leaving it to local funds to sustain it.<sup>13</sup>

Large giving had continually to be supplemented with smaller gifts. Nearly every institution at one time or another put on an endowment drive. These drives were usually directed at alumni.

Gerlinger states:

Yale was the first, in the 1890's, to organize annual alumni giving. On the first solicitation 385 alumni gave \$11,000. Thirty years later this giving was so well organized that upward of 8,000 alumni were giving close to a half million a year to the university.<sup>14</sup>

Techniques of reaching out to alumni have been developed to secure substantial funds from what is thought to be the most loyal constituency. Desmond writes:

In addition to annual fund drives, alumni used a variety of other devices, one of which in particular has a long history. In 1839 a donor made the University of Vermont a gift on condition that the university pay him an annual income from it during his life after which the principal would revert to the university. During the depression a hundred years later, when this form of gifting had become quite popular, many institutions found themselves paying out more than they were taking in. After the Second World War the scheme had such renewed popularity as a means of dodging income taxes that the federal government had to discourage it.<sup>15</sup>

McGrath comments upon the financial condition of higher education during the difficult period of 1930 to 1960. He states:

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<sup>13</sup>George L. Omwake, "Sources of Financial Support for the Liberal Arts College," Educational Record, Vol. 12, July 1931, pp. 283-285.

<sup>14</sup>Irene H. Gerlinger, "College and University Financing," Bulletin of the Association of Fund Raising Counsel, Vol. 25, November, 1978, pp. 426-427.

<sup>15</sup>Richard L. Desmond, Higher Education and Tax Motivated Giving, (Washington, D.C.: American College Public Relations Association, 1977).

In the interval between 1930 and 1960 expenditures for higher education rose from 0.56 per cent to 1.12 per cent of the gross national product which itself increased from \$91 billion to \$502 billion in the same period. And still colleges and universities did not have enough to pay the twentieth century costs of higher education. As in the past, growth in numbers and educational offerings continued to outstrip income.<sup>16</sup>

Russell<sup>17</sup> and Havvighurst<sup>18</sup> discuss three forces which seriously affected higher education income and outgo. First was the great depression of the 1930's. During this period enrollment jumped 20 per cent, because industry and commerce were unprepared to employ the annual group of high school graduates. At the same time college and university incomes fell; stocks and bonds yielded appreciably less and legislatures reduced taxes. Second, the twentieth century witnessed two world wars. The credit inflation necessary to pay for these wars greatly reduced the purchasing power of university income, especially where it was dependent on conservatively invested endowments. In the decade 1940-50 it is estimated that government monetary policies cut the income in half. (This income reduction would be evidenced again in 1979. Magarrell<sup>19</sup> describes the current status of the endowment structure of 144 American colleges and universities. He traces the levels of endowment income and what affect the rate of

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<sup>16</sup>Earl McGrath (ed.), Universal Higher Education, (New York: McGraw-Hill, 1966), p. 202.

<sup>17</sup>John D. Russell (ed.), The Outlook for Higher Education, (Chicago: University of Chicago Press, 1939), Chap. 7.

<sup>18</sup>Robert J. Havvighurst, "The Governing of the University", School and Society, Vol. 79, March, 1954, pp. 86-87.

<sup>19</sup>Jack Magarrell, "Increase in Earnings of College Endowments Smallest Since 1974," The Chronicle of Higher Education, Vol. 18, April 23, 1979, p. 3.

inflation has had upon the worth of the institutional portfolio. His analysis includes a discussion of the foreign policy and domestic policy questions faced by the Carter administration and the consequences of such questions upon the finances of American higher education. He states that the increase in earnings of college endowments is the smallest it has been since 1974.) These stringencies were especially hard on the smaller and weaker private institutions as evidenced by the fact that less than a quarter of all institutions of higher education, and predominantly the older eastern colleges and universities, held eighty-nine per cent of the total endowment of higher education. Third, it seemed that perhaps the day of large additions to private endowment had ended. Steep increases in both inheritance and income taxes to pay for modern wars and for dozens of new social services seemed to signal the end of this kind of philanthropy.

Curtis and Nash suggest that as new sources of private endowment dried up, inflation halved income, and tuition costs soared, higher education looked to private industry for philanthropic support

As industry benefitted from the trained leadership of the college graduate it employed, so new industry was asked to defray some of the cost of that education as a legitimate charge against profits. During the Progressive era but especially during the great depression the public had become disenchanted with the American private corporation as a benign social influence. In an effort to rehabilitate their public image these corporations engaged in a kind of 'welfare capitalism'. Under this rubric they made charitable gifts to such organizations as the Red Cross and the Community Chest. In the 1930's Sears, Roebuck and Allied Chemical made similar gifts to higher education.<sup>20</sup>

Yet, generous as was this gesture of corporate good will, the

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<sup>20</sup>Curtis and Nash, Chap. 11.

question lurked in the minds of many whether it was legal for a private corporation to share its profits with others than its stockholders. To settle this issue the state of New Jersey in 1950 passed a law permitting private corporations to divert earnings from stockholders to eleemosynary institutions such as those of higher education.

Recognizing their indebtedness to higher education for trained leadership provided to industrial and commercial corporations, leading industrialists formed the Council for Financial Aid to Education as a means of encouraging private corporations to give liberally to higher education. Through efforts of the council 207 companies contributed over \$34,000,000 in 1956, \$42,000,000 in 1958, and \$50,000,000 in 1960. By 1978 this figure would reach \$508 million.<sup>21</sup>

Philanthropy in higher education is a subject not foreign to Jacques Barzun. His classic work, The American University<sup>22</sup>, contains many pertinent passages dealing with the causes of philanthropic support and the corresponding results this philanthropy has upon the institution.

According to Barzun there are in the United States many overlapping kinds of universities, some private, some public, and some he refers to as hybrid, e.g., the land-grant colleges. There are secular and church-governed, urban and rural schools: there are four-year colleges which concentrate upon undergraduate instruction and others which give higher degrees in certain subjects, and all these exist side by

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<sup>21</sup>Marie M. Medeo, (ed.), Giving USA, (New York: American Association of Fund-Raising Counsel, Inc., 1979), p. 27.

<sup>22</sup>Jacques Barzun, The American University: How It Runs - Where It Is Going, (New York: Harper and Row, 1968).

side with the many institutions that are colleges and universities in name only-- institutions of lesser scope "re-labeled in the general excitement with some loftier title"<sup>23</sup>.

Within the context of the structural and curricular complexity, there exists the element of non-tuition support, emanating from a variety of sources. Barzun alludes to several. He states:

Individual donors are a plentiful species; if it is being carefully preserved it is from love of increase, not fear of extinction. In all these friends, warmth of feelings is sincere and full of respect. They show a deep concern for their favorite college or university, whether they are alumni or not. They resent slurs upon it, furnish it professional aid gratis, give its problems thought, remember it in their wills, and when called up in emergencies will respond with affable speed. It is a touching experience for an administration to be enfolded in this faithful attachment...<sup>24</sup>

But there may be a darker side to this generosity.

The individual donor, alumnus or friend, is of course as unpredictable as mankind himself. This benefactor, alumnus or not, may choose to exercise his charitable impulse by giving a building, endowing a chair, maintaining scholarships and fellowships, bequeathing part of his estate, turning over his art collection, or adopting a department or line of research. It is when pursuing these ends on a large scale that the donor will either appear as a trustworth benefactor or difficult friend of the institution:

When the elderly lady, without fuss, turns over a small fortune to the college, or the vigorous businessman consults a few friends among the trustees or administrators of the institution and draws up a will embodying his wishes in a form adapted to academic

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<sup>23</sup>Ibid., p. 3.

<sup>24</sup>Ibid., p. 140.

realities, hallelujahs go up and his name is a cherished memory as well as a piece of engraving on brass or stone... But it is only those in whose power lies every gift but that of 'giving' who cause anguish and who inflict hidden injuries. The 'danglers' of gifts are a menace to all functions of the university by soliciting the attention of harassed people and wasting their time on a shopping tour of possibilities. They are often false friends who, having made an impressive gift, try to continue managing it and end up acting like part-time administrators or semi-trustees. Less crude, but equally dangerous, are the donors with a 'purpose.' Often they wield the sole authority in a family foundation; they have hit upon a cause which they would bribe the university to take up as its own, though it is neither a current need nor a desirable extra.<sup>25</sup>

The intervention of the federal government into the financial support of education in general, and in the financial support of higher education in particular, dates back to the eighteenth century. According to Tiedt:

The first suggestion regarding federal aid to education has been attributed to Colonel Timothy Pickering in 1783. Briefly stated, his proposal was that all surplus lands from the Ohio Territory should be the common property of the states and should be disposed of for the common good, that is, the laying out of roads, the construction of public buildings, and the establishment of public schools and academies. Although the suggestion was not enacted, it does indicate the thinking of this period, which resulted in the passage of the Northwest Ordinance.<sup>26</sup>

Tiedt suggests that the first example of legislation specifically involving the national government in education is the Land Ordinance of 1785. The Continental Congress decided to sell the public lands in the Northwest and decreed that, preparatory to being sold, these lands were to be surveyed and divided into townships comprising 36 sections of 640 acres each. A section was the smallest unit that could be bought, and the price of one section of every township was to be used for

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<sup>25</sup>ibid., p. 158.

<sup>26</sup>Sidney W. Tiedt, The Role of the Federal Government In Education, (New York: Oxford University Press, 1966), p. 15.



maintaining public schools. This policy of governmental support for education was affirmed in 1787 with the passage of the Northwest Ordinance, which stated:

Religion, morality, and knowledge being necessary to good government and the happiness of mankind, schools and the means of education shall forever be encouraged.<sup>27</sup>

Tiedt and others have stated that, while the United States Constitution does not mention education, the General Welfare Clause, Article II, Section 8, is used by most authorities to justify the constitutionality of federal aid to education:

The Congress shall have power to lay and collect Taxes, Duties, Imports, and Excises, to pay the debts and provide for the common defense and general welfare of the United States...<sup>28</sup>

The first significant intervention of the federal government on behalf of higher education was the passage of the Morrill Act of 1862. This act represents, according to C. Gordon Lee, the first attempt to establish through congressional action a national policy with regard to federal aid to higher education.<sup>29</sup>

Introduced first in 1857, and again in 1861, this act was finally passed by the 39th Congress and signed into law by President Lincoln in 1862. The differences between the first and second versions were: (1) the original bill specified 20,000 acres per senator and representative in each state, while the final act allotted

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<sup>27</sup>Ibid., p. 16.

<sup>28</sup>Ibid., p. 16.

<sup>29</sup>C. Gordon Lee, The Struggle for Federal Aid, (New York: Columbia University Bureau of Publications, 1969), Chap. 2.

30,000 acres per congressman, and (2) the original bill contained no provision for military training which was included in the final version.

Tiedt states:

The agreements for the bill as stated more than a hundred years ago were: (1) the need for scientific, agricultural, and industrial training; (2) the fact that most existing colleges were primarily classical; (3) the regional inequalities in the ability to support education; and (4) the belief that too much of the public land was falling into private hands.<sup>30</sup>

Other pieces of federal legislation which affected higher education were drafted in the late nineteenth and early twentieth centuries.

In 1887, the Hatch Act added agricultural experimental stations to the land-grant colleges which resulted in the encouragement of scientific investigation in the field of agriculture.

The second Morrill Act of 1890 introduced the principle of federal grants for instruction in certain areas of higher education. (Referred to in contemporary terms as "categorical aid.") These permanent annual endowments set the stage for great expansion of agricultural and mechanical schools. By 1908 the limit was fixed at \$50,000 per year for each land-grant institution.

In 1914, Congress created the Agricultural Extension Service through the Smith-Lever Act, which was set up to "aid in diffusing among the people of the United States useful and practical information on subjects pertaining to agriculture and home economics<sup>31</sup>."

The original act authorized \$4,500,000 per year to be distributed on the basis of agricultural population, i.e., \$10,000 to

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<sup>30</sup>Tiedt, p. 18.

<sup>31</sup>Tiedt, p. 22.

each state on a matching basis and \$600,000 on the basis of rural population. Thus, for the first time an element of control was added.<sup>32</sup>

From the original Ordinances of 1785 and 1787 up through the Educational Amendments of 1972, the federal government has passed legislation which has in some way given financial support to higher education to supplement tuition/fee revenues, and it is important to remember that not one piece of this legislation has excluded private higher education!

Knezevich lists federal legislation which has made a financial impact upon higher education. Beginning with the Servicemen's Readjustment Act (GI Bill), of 1944, P.L. 284, by which the 78th Congress provided federal aid for readjustment to civilian life by returning World War II veterans, and provided educational training benefits for veterans, the list includes:<sup>33</sup>

1. 1944 Surplus Property Act Enacted a broad policy governing surplus property disposal for educational, health, and civil defense purposes.
2. 1953 P.L. 13 83rd Congress created the Department of Health, Education, and Welfare with the U. S. Office of Education a constituent unit.
3. 1954 P.L. 531 Cooperative Research Act 83rd Congress authorized the U. S. Office of Education to conduct cooperative research with colleges, universities, and state education agencies.
4. 1954 P.L. 597 Library Service Act 84th Congress established Library Services Programs.
5. 1958 P.L. 85-865 National Defense Education Act strengthened national defense and encouraged and assisted expansion and

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<sup>32</sup>Tiedt, p. 22.

<sup>33</sup>Stephen J. Knezevich, Administration of Public Education, (3rd ed.; New York: Harper and Row, 1975), pp. 270-274.

improvement of educational programs to meet critical national needs and set up college student loan funds.

6. 1962 P. L. 88-204 Higher Education Facilities Act authorized financial assistance for construction and rehabilitation of facilities in higher education.
7. 1964 Amendments to NDEA extended and expanded the National Defense Education Act by providing funds, in the form of fellowships, for the advanced training of teachers in english, history, reading, modern languages, and geography.
8. 1965 P.L. 89-329 Higher Education Act established seven new programs designed to strengthen institutions of higher education and provided financial assistance to students.
9. 1966 P.L. 89-698 International Education Act provided for strengthening American education resources for international studies and research.
10. 1972 P.L. 92-318 Education Amendments expanded and revised most higher education laws, creating new programs of institutional and student aid; established an Education Division within HEW, composed of the Office of Education and the National Institute of Education.
11. 1972 P.L. 92-607 Supplemental Appropriation FY 1973 included approximately \$1.1 billion for programs under the Education Amendments of 1972, P.L. 92-318.

The doctrine of separation of church and state is fundamental to the viability of the democratic form of government, suggest those who would deny tax support to private schools, and the application of such a doctrine is no more complex then when it is related to the educational enterprise.

Throughout the history of federal involvement in education, especially higher education, tax dollars have gone to support private schools. In two landmark decisions, the United States Supreme Court has guaranteed the existence of private schools as an alternative to the public system, and in another decision, the Supreme Court articulated a position upon which the constitutionality of tax dollars

for private schools was upheld.

According to Gutek:

The Dartmouth College case of 1819 established a precedent that guaranteed the independence of the private college from state control. After the state legislature of New Hampshire had taken control of Dartmouth College and established a new institution called the University of New Hampshire, Daniel Webster argued for the upholding of the original charter before the United States Supreme Court. Webster won a decision that affirmed the original charter. Chief Justice John Marshall, basing his decision on the contract clause of the federal constitution, (Article I, Sec. 10), held that the original charter granted by King George III was contractual and could not be impaired. The college was restored to the board of trustees and returned to its earlier status as a private educational institution. The Dartmouth College decision ended state efforts to transform private educational institutions into state controlled institutions and protected the continued existence of the independent privately controlled college. The Dartmouth College case strongly sanctioned the system of higher education in the United States which produced both a private and a state supported system of colleges.<sup>34</sup>

According to Kimbrough and Nunnery:

In 1922 the Oregon legislature passed a law, effective in 1926, that stated that all school age children, with very few exceptions, would be required to attend public school. Two nonpublic schools sought relief from the act. The Supreme Court, in the 1925 *Pierce v. Society of Sisters of the Holy Name of Jesus and Mary*, upheld the injunction granted the new public schools by the federal district court in Oregon. The Supreme Court voted that it could not interfere with the right of the state to regulate schools reasonably, but as long as nonpublic schools were developing competent citizens, the needs of the state were being met, and in such cases the state could not require pupils to attend public schools. The court reasoned that the law would unreasonably hamper the business of the nonpublic schools and the rights of parents in rearing their children.<sup>35</sup>

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<sup>34</sup>Gerald L. Gutek, A History of the Western Educational Experience, (New York: Random House, 1972), p. 372.

<sup>35</sup>Ralph B. Kimbrough and Michael Y. Nunnery, Educational Administration: An Introduction, (New York: Macmillan Publishing Co., Inc., 1976), pp. 199-200.

Again Kimbrough and Munnery speak to the issue:

Central to the question of the legality of public support to private schools and its form is the establishment clause of the First Amendment. One of the early cases on the subject arose in Louisiana, where the legislature had passed a law that provided free text books from public funds to nonpublic school pupils of the state. The law was contested, and in 1930 the Supreme Court upheld the constitutionality of the law, ruling that the children were aided-- not the parochial schools attended by most of the children who benefited from the law... The court noted the intent of the Constitution regarding the separation between church and state, but asserted that children were being aided-- not religion.<sup>36</sup>

What is asserted here includes: (1) having passed substantial federal legislation which supports private higher education and having affirmed the existence of a private system of higher education through a Supreme Court decision in 1819, private higher education is immuned from the traditional struggle of those for and against tax support to private schools, a struggle confined to education below the college and university level; and (2) it can be reasonably assumed that the "child benefit theory", articulated by the Court in 1930, would be the defense utilized by the proponents of the public aid to private higher education.

The first purpose of this chapter was to present an historical overview of philanthropy in American higher education. Such philanthropy includes a variety of sources of non-tuition revenue and, therefore, gives focus and direction to the effort of the development officer in his fund raising efforts.

To conclude this historical overview, it is useful to present data which relate to the "state of the philanthropic art" in 1978-79.

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<sup>36</sup>ibid., p. 201.

The Council for Financial Aid to Education has compiled data directly related to the financial support of America's colleges and universities. (Detailed reports of trends are found in the Appendix.)

In addition to the \$9.6 billion in grants in 1978 by the federal government to higher education, Americans gave \$3.04 billion to higher education in 1978, which represents a 13.9 per cent increase from the previous year.

The Council reported that American business corporations gave higher education \$508 million. Alumni giving reached \$714 million, with non-alumni responding with \$766 million. Contributions from religious organizations reached \$158 million. Foundation giving reached \$623 million, and "other" category amounted to \$271 million.<sup>37</sup>

#### Evolution of the Role of the Development Officer

As the philanthropic support of American higher education grew from the £550 grant of Elihu Yale in 1716 to the \$4.04 billion given to higher education in 1978, there has been a corresponding growth in sophistication of generating and administering such vast sums of money.

An investigation of the colonial college reveals the following characteristics: (1) a campus comprised of no more than two or three buildings; (2) a student body comprised of a score of adolescent boys; (3) a faculty comprised of several clergymen who taught the entire curriculum; and (4) a president who was responsible for class schedules, dormitory conditions, and fund raising.

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<sup>37</sup>Medeo, p. 27.

Rudolph states:

He has become a mere administrator, the business manager of a great plant, a lobbyist often at the general assembly of the state, a peripatetic raiser of funds, an applauded lecturer before women's clubs and rotary clubs, and boards of trade, a dignitary in gorgeous robes at intercollegiate functions, and an absentee for long periods from the college campus.<sup>38</sup>

Fund raising was then the responsibility of the college president. Taking time from his other duties, he would have to travel great distances to secure meager funds which would help keep the institution from closing. Later the efforts of the president would be supplemented by a succession of merchants and manufacturers who would become lay trustees and who would be expected to give money and to get others to give money.

According to Grenzebach:

Fund raising as a distinct administrative function contained in a designated area in the organizational chart, under the responsibility of an individual known as the development officer is a phenomenon of the modern era in higher education. As the administration of the institution became more complex, functional specialization became imperative and as the costs of education rose, the need for sophisticated programs in fund raising became crucial.

Ironically, the prototype of the modern development officer in higher education can be found in the capital campaign director retained by the YMCA in the 1920's.<sup>39</sup>

Grenzebach related two fundamental elements in the evolution of the role of the development officer in higher education: (1) the growing specialization in institutional administration; and (2) the increased reliance on fund raising to supplement tuition/fee revenue

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<sup>38</sup>Rudolph, p. 164.

<sup>39</sup>Martin Grenzebach, Vice President, John Grenzebach & Associates, Fund Raising Counsel, Chicago, Illinois. Personal Interviews: June 29 and July 19, 1979.



for operational costs and to generate monies for capital expansion.

Perlman had previously stated that the infusion of management techniques had influenced educational administration to the extent that a development officer was needed to coordinate the entire fund raising effort. He states:

Large social organizations must balance growth in size and complexity with the development and implementation of new organizational and managerial techniques necessary to keep an organization functioning. Higher education is no exception. During the 1960's higher education in America became a major enterprise. By the late 1970's enrollments may well reach 10 million students... The very size and expense of higher education has put colleges and universities under increased pressure from many sources-- trustees, coordinating boards, state legislatures, Washington agencies-- to account more openly for their expenditures and to manage their operation more efficiently... As a result of these external pressures, as well as the internal pressure put on higher education by changes in governance, size and the rate of growth, a variety of new administrative and managerial tools have been adapted for use in higher education from tools developed initially to administer large business organizations and federal agencies.<sup>40</sup>

Perlman lists several management tools with which administrators in higher education should be familiar: (1) MIS - Management Information System; (2) PPBS - Program Planning Budgeting System; and (3) MBO - Management by Objectives.

The development officer, increasing his familiarity with the capability of such tools, would need a facility with securing data related to key issues affecting the financial status of the institution.

1. Student financial aid information including family income levels, sources of financial aid, average amount of college/

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<sup>40</sup>Daniel H. Perlman, "New Tools and Techniques in University Administration", Patrick J. Montana, ed., Managing Nonprofit Organizations, (New York: American Management Association, 1977), pp. 59-61.

university funds needed to supplement scholarship, and other student income sources.

2. Information about faculty, such as the faculty productivity rate (the total number of student credit hours 'produced' by a faculty member during a year), as well as the numbers and percentages of faculty by various categories including terminal degrees held, tenure, years to retirement, salary levels by rank, department, seniority.
3. Information about the costs per credit hours by department, per degree recipient by major.<sup>41</sup>

As higher education grew into a complex social/economic/educational enterprise, from the colonial college through to the multi-versity, the role of the administrator became simultaneously clear and ambiguous.

Sprunger and Berquist speak to this paradox:

The role of the college administrator is difficult even under the best of conditions. In general, his role is usually either restrictive or ambiguous. On the one hand, some high-level college administrators who occupy traditional roles of power and influence clearly 'run' their colleges. In this role, however, they often find themselves hemmed in on every side by both the personal expectations of people with whom they work and the formal and informal organizational structures through which the institution operates. The other type of college administrators-- those without real sources-- are also confronted with frustration. They may have no direct control over significant internal operations and consequently devote their attention to activities that may be important but are peripheral to the institution's primary mission. Both the powerless and the too powerful administrator are unable to assume a vital leadership role at times when they might move the institution toward a specific goal.<sup>42</sup>

Specialization is a fact of life in the administration of higher education, and contains advantages and disadvantages relative to the realization of the goals of the institution. Fund raising is

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<sup>41</sup>Perlman, pp. 61-62.

<sup>42</sup>Benjamin E. Sprunger and William H. Berquist, Handbook for College Administration, (Washington, D.C.: Council for the Advancement of Small Colleges, 1978), p. 4.

not insulated from this administrative fact of life.

According to Sprunger and Berquist the increased specialization has produced such advantages and disadvantages. During the past century the role of the college president and other key administrators gradually changed. This transition greatly accelerated with the rapid expansion and growth in complexity of all colleges and universities.

The college president has moved away from his former role as academic leader and in many institutions is now primarily involved in administration of external matters of policy implementation and public relations as well as the internal financial and physical operations.

In large universities, as well as in many small and medium sized colleges, further specialization of functions has occurred at lower levels. Vice presidents of academics, planning, development/public relations, administration, and student services have been hired to assist the president and to carry on specific campus responsibilities. These vice presidents have become managers of large and complex offices and consequently must build their own administrative staffs. Thus the modern collegiate institution is operated by a large administrative staff, and its key administrators, like those in business and industry can become detached from the daily operation of the institution and its primary activity--education.

Thus, institutional size, complexity of operation and pressure for public accountability have forced specialization of functions in both the small college and the large university. This

specialization has brought advantages and corresponding disadvantages:

### Advantages

1. First, a large specialized staff can probe deeply and from a variety of perspectives into difficult problems.
2. Second, increased specialization frees key administrators from routine decision-making procedures and enables them to focus on the central issue of the institution.
3. Third, specialization encourages the emergence of new roles; and these roles in turn encourage the introduction of new techniques and perspectives.
4. Fourth, specialization has provided a vehicle for the acceptance and implementation of new planning and management tools such as MBO, PPBS, and MIS.
5. Fifth, specialization has promoted the development of the "preventative approach" to forecasting and dealing with problems relative to such areas as finance and student services because these administrative offices are large enough to allow for staff members to specialize in one area.

### Disadvantages

1. First, specialization has encouraged criticism that the contemporary administrator has become a businessman rather than an educator or scholar.
2. Second, though specialization has encouraged a description of key administrators as businessmen, they seldom have been trained for this role. Most high level administrators were originally educators, scholars, or researchers. Consequently, they are rarely prepared to administer a complex organization like a college or university. (It is understandable, then, that members of the business community often describe the contemporary college or university as a multimillion dollar service industry that is poorly managed by a cadre of amateurs.
3. Third, specialization can produce a loss of a common vision of what the college should be and, then, a loss of perspective that prevents leaders from leading. The various specialized functions that could be easily integrated when they were performed by one or two people are now performed by many individuals who often work in isolation from each other. (Fund raising, for example, frequently operates

independently of student recruitment and academic program development, even though these areas are highly inter-dependent.) It is clear that administrators who become enmeshed in the demands of their office and who must compete for scarce resources often have neither the time nor the interest to find out about the operation of other units within the institution. While this lack of perspective is a problem in any large and complex organization, it becomes particularly critical in collegiate institutions where goals are neither clear nor readily quantifiable.

4. Fourth, specialization of roles also tend to create tension and misunderstandings between the academic and nonacademic members of the staff. With the increase in size and influence of the nonacademic staff, faculty and lower-level academic administrators in large institutions look with suspicion on planners, business officers, and fund raisers.
5. Fifth, specialization has created a loss in the sense of purpose among administrators who have little authority and restricted power but no commensurate reduction in accountability. Certainly, the "burnout" of many administrators is attributable in part, to defending themselves in situations of accountability where they are unable to act or make decisions because authority is so difficult.<sup>43</sup>

The allusion was made earlier in this chapter to the fact that the fund raising responsibilities were formerly assigned to the president, and later to a board of trustees, and though the contemporary college president and his board are actively involved in the solicitation of gift monies, it is the fund raising staff, under the direction of the development officer, which is charged with generating the programs to produce gift income.

Pusey recounts his years as president of Harvard University, (1953-1971), and the challenges he faced in securing non-tuition revenue. In assuming the Harvard presidency in 1953, Pusey found that Harvard was not the wealthiest university in the world as had been commonly assumed. Harvard faced the same challenges as all

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<sup>43</sup>Ibid., pp. 5-6.

other American institutions of higher education-- generating non-tuition revenues. He comments upon the diverse sources of philanthropy and the role of the fund raising staff as crucial elements in the survival of the American system of higher education:

Since private funds were required initially for their establishment and thereafter to enable them to stay alive and grow, private colleges and universities have necessarily been more active than their public counterparts in seeking gift income. Recently, however, finding it more and more difficult to obtain tax dollars needed to keep up with rising costs and inflation, the public ones have been endeavoring to catch up. In recent years more than a quarter of the billions of dollars received in gifts from private sources by institutions of higher education went to public institutions. In addition, fund raising for both operating and capital expenditures has become a major and continuing activity for all institutions of higher education, both public and private. Staffs charged with the responsibility of exploring possibilities for gifts, (from alumni, non-alumni, corporations, and foundations), and of actively seeking such gifts were sooner or later added to the administrative organizations of virtually every college and university.<sup>44</sup>

De Thomas surveys current practice in educating board members as to the financial elements indigenous to higher education and suggests an increasingly more central role to be played by the development officer in institutional administration. The enlarged role of corporate boards in policy making has made the development staff increasingly accountable in terms of planning and evaluating programs for the generation of non-tuition revenues. He states:

In the 1960's higher education experienced continued growth so that immediate expenditures could be financed out of an ever-increasing pool of expected revenues. Funds to meet today's operational costs were invariably found in tomorrow's flood of tuition and gift monies. However, these happy trends proved to be reversible. Growth became stability or, frequently, decline as inflation of costs rapidly out-distanced

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<sup>44</sup>Nathan M. Pusey, American Higher Education 1945-1970 - A Personal Report, (Cambridge, Massachusetts: Harvard University Press, 1978), pp. 113-114.

even the most prudent budgetary efforts and the competition for gift income intensified to the point where colleges found themselves involved in marketing and promotional schemes foreign to their tradition... However, there is a more significant impact on educational governance brought about by the death of what the economist might label a 'growth industry.' This is found in the alteration of the role of trustees, (from fund raising to policy formulation), and in the changes in the relationship between trustees and educational administrators.<sup>45</sup>

Ammentorp and Grass comment on the variety of sources from which gift income must accrue and for which fund raising staffs must be accountable. In their commentary they suggest that a new trustee-administrator relationship has developed:

As more colleges and universities acquire systematic information about their daily operations and annual financial status, trustees and administrators face the task of making sense out of this multiplicity of numbers... Trustees and administrators often express the need for more data on the institution, but feel even more helpless to interpret the information once it is delivered to them. Yet, private college and university administrators and trustees, concerned as they are with institutional stability and viability need to give special attention to the available indicators that gauge the current and prospective performances, processes, and conditions of the institution. Trustees and administrators need to work closely together in assessing and nurturing the educational and financial health of the institution.<sup>46</sup>

They continue by stating:

In the small, private institution, a favorable financial balance can be maintained only by keeping tuition charges commensurate with increases in instructional costs or by increasing student numbers so that real instructional costs can be reduced. This assumes, of course, that revenues from private gifts, government grants and miscellaneous sources remain constant.<sup>47</sup>

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<sup>45</sup>Louis De Thomasis, FSC., The Finance of Education, Winona, Minnesota: Saint Mary's College Press, 1978), Foreward.

<sup>46</sup>William Ammentorp and Paul Grass, FSC., Management Indicators For The Governance Of Private Higher Education, (Winona, Minnesota: Saint Mary's College Press, 1978), Foreward.

<sup>47</sup>Ibid., p. 29.

Pusey alluded to the fact that both the public and private sectors in higher education were engaged in the solicitation of gift monies, and though this study concentrates upon the role of the development officer in the private sector, it can not be assumed that the role of the development officer in the public sector is either unworthy of consideration or unrelated to its private counterpart.

The functions of the development officers in both the private and public sectors have historical antecedents in the fund raising activities of early college presidents and boards of trustees. Though it must be kept in mind that the role of development officers originated in the private, non-profit sector as tax monies were either not available or available in miniscule amounts to supplement gift monies and thus the need for a designated administrator was recognized sooner than in the public sector. Recent economic and student population trends have demonstrated the necessity for fund raising staffs in the public sector.

Seymour speaks of the genesis of the word "development" in the context of educational fund raising and the utilization of fund raising professionals. He states:

The word 'development' was first used in fund raising by President Ernest De Witt of the University of Chicago in the autumn of 1924; it could not be taken merely as another word for raising money but as a broad term for the planned promotion of understanding, participation, and support. And it is in that light, I strongly suggest, that development offices should be planned, set up, and run. The development office has now become a fulltime and vital activity for nearly all voluntary institutions... no longer is development either casual or occasional as it usually was some forty years ago.<sup>48</sup>

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<sup>48</sup>Harold J. Seymour, *Designs For Fund Raising*, (New York: McGraw Hill Book Company, 1966), pp. 115-116.



Colton comments on the role of the development officer in American higher education, and does not suggest that the role is different with regard to the private or public sector. He states:

The role of a university vice president or chief fund raising officer, whatever his title, will vary tremendously depending on the personalities, and preferences of the president, the Board of Trustees, the volunteer campaign leadership, and possibly professional counsel. In many ways all of these people occupy the position which various publics will see as uniquely responsible for the campaign, yet he is the only one of them who bears the full-time professional responsibility for the campaign from its first inception to the long process of mopping up, collecting the pledges, and building on the results for the next effort. He is uniquely the man on the spot, and yet he must constantly work through others.<sup>49</sup>

Colton also alludes to the utilization of outside fund raising counsel. This modern phenomenon has greatly influenced the role of the development officer in his interaction with the counsel staff and with trustees and administrators at the officer's institution and in his responsibility for the fund raising program. Colton states:

The decision to use counsel, to choose which one, and to negotiate their employment should rest with the vice president, although examined and ratified by the president and trustees. One of the first and most crucial problems is for the vice president and counsel to work out their respective roles. If the institution has had long experience with fund raising, and if it appears likely that the president and other officers of the institution are going to play key roles in campaign decision-making, counsel should be located close to you and the officers of the institution so they can easily share on a daily basis in the work and thinking which will shape the campaign.<sup>50</sup>

The second purpose of this chapter was to trace the evolutionary process in administration culminating in the designation of the development officer as responsible for the fund raising program at a particular institution.

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<sup>49</sup>George Colton, The Role Of The Development Officer, Washington, D.C.: American Alumni Council, 1972), p. 133.

<sup>50</sup>*Ibid.*, pp. 134-135.

The historical antecedents of the administrative functions of the development officer can be found in the early fund raising efforts of college presidents and trustees. As the organizational structure became more complex, a corresponding specialization of duties occurred. Then, along with a greater need for gift income to supplement tuition revenue encouraged the designation of a single administrator who would be responsible for the generation of fund raising programs.

Along with the above internal institutional influences, there appeared an external influence on the evolution of the role of the development officer.

The establishment and subsequent utilization of outside fund raising counsel dramatically influenced the role of the development officer. His responsibilities for the fund campaign were shaped and his interactions with other administrators modified depending upon the presence of outside counsel for the fund raising program.

Finally, the presence of fund raising staffs and development officers are common place at both private and public institutions of higher learning. Though the role of development officer originated in the private sector, financial exigencies have promoted the utilization of fund raising, programs and officers, at public institutions as well.

The Role of the Development Officer in  
Planning, Organizing, Staffing, Leading,  
Evaluating, and Developing

The focus of this study is the role of the development officer as administrator at private institutions. In an attempt to present

what will be a meaningful discussion of a facet of educational administration related to fund raising, six functions have been isolated as the foundation for the discussion.

In 1978, Benjamin E. Sprunger and William H. Berquist were asked by the Council for the Advancement of Small Colleges to develop a model for administrators in higher education. The model articulated six functions considered crucial to the practice of administration. The six functions are: (1) planning; (2) organizing; (3) staffing; (4) leading; (5) evaluating; and (6) developing. The third section of this chapter will discuss the activities of the development officer as these activities can be categorized under the functions articulated by Sprunger and Berquist.

The content of the third section of the chapter will be divided into six sub-sections, each listed as one of the administrative functions; this following some prefatory statements by authorities in the field of administration, and a working definition for each function provided by Sprunger and Berquist. The following quotations are examples of authoritative statements on administration.

Knezevich suggests:

Administration is an integral part of an organized society. It is crucially needed for maintaining and expanding the relevance, effectiveness, and productivity of complex institutions. The survival of organizations is dependent on the quality of administrative services available.<sup>51</sup>

According to Drucker:

Administrators are a 'basic resource', the 'scarcest resource',

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<sup>51</sup>Knezevich, p. 3.

and perhaps the most 'precious resource' in an enterprise.<sup>52</sup>

Katz suggests that successful administration rests on three basic skills, referred to as technical, human, and conceptual:

Performance demands technical skill that stresses method, process, procedure, or technique. In addition, human skill is necessary for the administrator to work effectively as a group member and to build cooperative effort within the team he leads. The technical dimension emphasizes things and physical resources; the human side focuses on working with people, that is, human resources. Conceptual skill enables the administrator to put it all together and involve the ability to see the enterprise as a whole.<sup>53</sup>

Cohen and March suggest:

Without administrators acquiring resource, coordinating activities, and designing and maintaining an environment in which faculty, staff, and others can work cooperatively to further the education of students, the small independent college, community college, or multi-university could not exist as we know it today. Unfortunately, many people within the higher education community believe that administration is an imposition on the teaching and resource functions of a college or university... All organizations, whether they be schools, universities, hospitals, government agencies, unions, charitable organizations, or industries have administrators who are responsible for and charged with fiduciary responsibility for the assets of the organization.<sup>54</sup>

Sprunger and Berquist state:

Administrators and managers are responsible for (1) assuring that the mission and goals of the organization are current, viable, and operational, (2) maintaining a flexible organization that can respond to changing needs, (3) obtaining, maintaining, utilizing, and controlling resources, (4) providing an equitable flow and distribution of services and (5) meeting both the internal and external expectations of the supporting constituents. Given these wide-ranging responsibilities, the ambivalence that many

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<sup>52</sup>Peter F. Drucker, The Practice of Management, (New York: Harper and Row, 1954), p. 111.

<sup>53</sup>Robert L. Katz "Skills Of An Effective Administrator" in Skills That Build Executive Success, (Cambridge, Massachusetts: Harvard Business Review, 1964), pp. 21-30.

<sup>54</sup>Michael D. Cohen and James G. March, Leadership and Ambiguity: The American College President, (New York: McGraw-Hill, 1974), pp. 28-29.

people--- even some administrators--- feel toward administration is understandable.<sup>55</sup>

The development officer, now a full-fledged member of the administrative hierarchy in higher education is not immune from either the skepticism alluded to by Cohen and March or the ambivalence mentioned by Sprunger and Berquist.

In the context of the enterprise which is higher education, whether private or public, the development officer performs functions pursuant to the utilization of the goals of his institution.

To prepare for a review of the six administrative functions, it would seem useful to summarize the working definitions provided by Sprunger and Berquist for the six functions:<sup>56</sup>

1. Planning should precede, in theory and for new organizations, all other administrative functions. In existing organizations planning ideally precedes the implementation of new programs, policies, and procedures.

Planning should be a cyclical process that includes such activities as establishing, reviewing and modifying missions, goals, and objectives; assessing internal and external environmental conditions that may affect market position, budget, and resources to be allocated or acquired; identifying, testing, and implementing strategies for program enactment and maintenance; and monitoring implemented plans and making adjustments as required. Planning without a decision to commit human and fiscal resources is not a plan; it is only a review, a study, or an intellectual exercise. Planning is not complete until specific decisions have been made to allocate resources and implement all or a portion of the plan. Ultimately, planning reverts back to the mission of the institution, with mission defined as, "the general purpose and philosophy which explain in the most inclusive terms possible the institution's reason for existence and the clientele it is meant to serve."

2. Organizing, as a process, involves the division of labor, the assignment of tasks to be achieved, and definitions

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<sup>55</sup>Sprunger and Berquist, p. 4.

<sup>56</sup>Sprunger and Berquist, pp. 8-11.

of interrelationships to indicate how each subgroup and division fits into the total effort.

The organizing function includes delegation of authority and responsibility. It is the process of deciding who is to do what, where it is to be done and how, and when it is to be completed. Organizing is creating an internal structure-- a means to carry out plans and meet objectives. It is important that the organizing process develop directly from the institution's mission, goals, and objectives.

3. Staffing suggests that people with appropriate skills, interests, and concern for institutional mission must be identified, selected, trained, and encouraged in accordance with plans.

Administrators are responsible for providing adequate human resources to achieve objectives without wasting limited resources on excessive employment. They are responsible for forecasting employment needs and maintaining policies and practices that ensure institutional flexibility. This flexibility is essential in dealing with changing needs and resources while at the same time ensuring equitable and non-discriminatory hiring and firing of personnel.

4. Leading is an essential function. It relies heavily on communication and motivation. Only through effective use of leadership, communication, and motivation will an administrator obtain active and knowledgeable participation and cooperation in the achievement of institutional goals.

Leadership requires that others are willing to follow, and people follow those they think will enable them to achieve their own personal goals. An administrator's responsibility is to create through communication, motivation, and leadership an environment that others find satisfying and challenging. Leadership, communications, and motivation also are essential in helping others to accept change, or to work toward stabilization in the organization.

5. Evaluating refers to monitoring progress and is essential for determining whether organizational units and employees are meeting desired objectives.

Evaluating within the institution refers to functions which include (a) a determination of personnel decisions regarding retention, promotion, and salary, (b) a basis for administrative development which incorporates observation, diagnosis, and training, (c) a linkage to the identification and measurement of specific objectives through an MBO/R program,

or some other management/evaluative tool, (d) a basis for team building procedures and the sharing of evaluative data in constructive and problem-solving applications, (3) a basis for determination of the strengths and weaknesses of an administrative staff, (f) a means of providing information to governing boards and chief administrators about the degree of congruence between declared institutional policy and actual administrative action, (g) a linkage relative to the need for accountability throughout a college or university, (h) a basis used to convince both internal and external audiences that administrators not only perform effectively but perform functions necessary and essential to the institution, and (i) a basis to aid in the research and development needed to determine factors that influence an institution's administrative effectiveness.

6. Developing refers to the vital role of personal, professional, and organizational development in a comprehensive personal program.

This program should contain phases which include (a) the administrator's self-assessment which contains a statement of his personal and professional goals, identification of his professional strengths and weaknesses, and classification of his values, attitudes, and concerns as they relate to his assignments and his co-workers, (b) an examination of the administrator's expectations of the job, evaluation of job competencies, and analysis of job related motivations for himself and his subordinates and (c) the achievement of personal, professional and organizational change.

The remainder of this chapter will contain a review of the six administrative functions based upon statements by authorities in the field of fund raising.

### Planning

Seymour speaks of the need for planning as vital to the success of the fund campaign. He suggests that precampaign procedures are paramount. It is what has been done ahead of time and how it was done that usually decides success or failure.

For fund raisers the precampaign period is a time of (1) definition and design, (2) involvement in program, (3) determination of

the case for the appeal, (4) selection of the leadership, and (5) setting standards for giving. These essentials should be taken care of in that order. Seymour states:

The first thing to do in any organized fund raising is to make a plan and this will involve important definitions. Careful investigation, due analysis of findings, and a number of key decisions on the campaign design.

Definition needs to be found for such questions as these: Just what is the problem? What do you intend to do about it? What is the audience and is it a ready-made constituency, or do you have to create your following? What policies are involved? What is the scope of the operation? What are the time factors on start, duration, and closing date? Where do you turn for authority and approval and for help and advice? And about how much is the venture apt to cost, and where is the expense money coming from?

Investigation is next in order to find the fruits of precedent and comparable experiences, to seek pertinent facts and opinions that should have bearing on what is done, and-- biggest of all investigative jobs-- to study the giving and working potential of the constituency.

Analysis of the findings, in light of the definitions established at the outset, should then lead to a consensus on what has to be done, how far the goal can be stretched to the point of genuine boldness, when and where the job should be launched, and about how much time it might take.

Design in fund raising can of course be very large or very small, depending on the size of the goal, the geographical scope of the effort, and the readiness of the constituency to respond.<sup>57</sup>

Ideally, all institutions which rely upon fund raising through voluntary support should involve their constituencies in programs at all times, not merely when funds are to be raised. Many colleges and universities have as many as 10 per cent of their alumni involved in recruiting, club work, and annual fund collections.

The basic document for the campaign is the "case statement."

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<sup>57</sup>Seymour, pp. 38-40.



It is the definitive story of the whole campaign. It tells all that needs to be told:

It answers all the important functions, reviews the agreements for support, explains the proposed plan for raising the money, and shows how gifts may be made and who the people are who vouch for the project and will give it leadership and direction.<sup>58</sup>

In the late 1960's, Princeton University and Harvard College engaged in substantial fund raising campaigns. To get some idea of how campaign goals are set, the Appendix includes the Gift Projection for the Princeton and Harvard Capital Campaigns.

Seymour concludes with five dicta for the successful campaign:<sup>59</sup>

- (1) The first step is to define the problem, search out the pertinent facts and opinions, and make a plan for the campaign design, with plenty of representative help and concurrence.
- (2) Constantly, and certainly as early as possible in the pre-campaign stage, institutions should work hard for effective involvement in the program, especially among those in a position to do the cause the most good.
- (3) Good planning should make sure that the case for fund raising does what a good case is supposed to do; cover the ground, aim high, catch the eye and ear, warm the heart, and then stir the mind to the convinced conclusion that the cause has importance, relevance, and urgency.
- (4) Never settle the leadership for anything less than the first-class attention of a first-class man, preferably somebody who evokes faith and confidence because he always has more than enough of both to spare.
- (5) And finally, it will be found that the measurements of victory depend on the giving standards and the quota system; from the inside out and at each successive level of the campaign.

Frantzreb suggests that planning is crucial as today 90-95 per cent of philanthropic program success comes from 1-5 per cent of the

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<sup>58</sup>Seymour, pp. 42-43.

<sup>59</sup>Seymour, p. 57.

constituents. Fewer people are giving more money, and there are fewer really concerned, dedicated, inspired volunteers.

It follows that if the 90 per cent-- 5 per cent estimates are true generally, then executive, volunteer, and staff time is best spent on the 5 per cent of the constituents. Further, it follows that efforts at prospect research and systematic strategy to cultivate influential and affluent prospects merits maximum time to devotion of all concerned.

In terms of planning, Frantzreb states clearly:<sup>60</sup>

With all the negative propaganda about student goals, career over liberal arts education, why go to college theses, questionable survival of small independent colleges, increased costs of living, etc., long range planning (now 3-5 years) becomes vitally crucial. Bland idyllic philosophies must be replaced with provable cost-benefit analyses. Whatever the organizational mission and goal.

Long range plans form the basis for the organization case for the private sector-- even public sector support! The reason, the rationale, the satisfaction for support must be sold. The case should sell-- nostalgia, values, goals, purpose-- the importance of the donor in underwriting the institution for annually recurring needs, for special current asset needs, and for endowment from bequest and estate plans.

Both long range plans and the case statement should be market tested among those whose influence is respected and whose advocacy is vital. Organizations rest in smug isolation that the prose promulgated by presidents and/or faculty is immortal. It may be, but, if and when it doesn't sell, it just may be academic rhetoric relegated to library warehouses. People-- busy people-- are intrigued by the opportunity to judge philanthropic organizations before asked to surrender resources to them when they are part of the preparation (planning) process.

Previously, F. Thomas Tratter suggested that institutional planning is fundamental to the viability of colleges and universities.

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<sup>60</sup>Arthur C. Frantzreb, Setting Fund Raising Priorities, (Washington, D.C.: Council For The Advancement Of Small Colleges, 1979), pp. 2-4.

He states:<sup>61</sup>

In a time of deepening crises we turn increasingly to the practical issues of institutional planning with an intensity not familiar to this generation of administrators. Only those institutions that are careful with their resources, human and fiscal, and are thoughtful about their purpose, will have a future.

There are five areas in which action is needed for planning relative to campaign success and the overall achievement of the institution's goal. First, there exists a decisive need to develop a posture of continual checking with the institutional purposes and goals so that identity and institution are perceived to be one. It is critical that we demythologize the mottoes over college gates and state their intentionality in current speech. The rise of consumerism is in part a reaction to the colleges' carelessness about intention and purpose. Prudence now suggests that a continual conversation about institutional purpose is more useful than deathless prose etched in stone or Old Main. Second, the need exists to obtain more institutional data for effective planning. It is important that decision makers have accurate information about projections of enrollment, income, costs, and auxiliary expenses and auxiliary income. Individual schools or groups of schools must become innovative in data gathering systems so that projections involving as many as 200 variables might be introduced and trustees and administrators have a reasonable opportunity to judge the future by detail and not only by guess and by name. Third, the need exists to exercise careful control over curriculum. Needless curricular experimentation can dissipate the human and financial resources available to the institution. Fourth, there exists a need for higher education to be deeply involved in meeting social need. Continuing education, career redevelopment, para-professional programs, post-retirement education, etc., are options for institutional development. It is not insignificant that there are strong financial resources for funding these optional programs. Fifth, there is a crucial need for colleges to be constantly alert and sensitive to their wider constituency. It is not self-evident to many people that higher education is a necessary element in our national life. Many young people are questioning the importance for themselves in investing their energy and funding in the enterprise. The college must assert again its role in shaping the values of a society and the empowerment of the people to intelligent and effective citizenship.

Subsequent to Tratter's remarks, Edward Hale, a colleague of

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<sup>61</sup>F. Thomas Tratter, "Institutional Planning", Gonser Gerber Tinker Stuhr Fund Raising Counsel Bulletin, September, 1975.

Tratter's at Gonser Gerber Tinker Stuhr, suggested,<sup>62</sup>

There must be adequate long range institutional planning. A five year program, including an academic blueprint and an estimate for each of the five years of income and expenditures, help to clarify and establish priorities. After the conclusion of each fiscal year, one more year should be projected, so that there will always be an up-to-date plan covering the five years immediately ahead. The joint effort from all publics which is necessary to produce the academic blueprint is as important as the plan for the development program; both result in a better understanding of priorities and a greater commitment from all participants.

Schaffner refers to the planning function as fundamental to the success of the development program. He states:<sup>63</sup>

Development is not something that you hire somebody else to do and then forget. Development is involved with every phase of institutional operation. In order to have a good development program, the institution must have a good program to sell. These must be long range plans if the goals of the institution are to be realized.

Bagley offers a concluding word on institutional planning. He states:<sup>64</sup>

There comes a time when the manager (administrator), must try out the planning process that he's learned about at management seminars, business, school, or the like. It has been said that planning is like motherhood-- everyone is in favor of it, everyone except those who never get to plan or who sum it up for themselves and for everyone else. Almost everyone, though, at least pays lip service to institutional planning. In planning there are five 'glitches,' as they are known in the electronics industry-- unexpected failures of things that weren't supposed to fail. One, unwillingness to plan despite an insti-

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<sup>62</sup>Edward Hale, "Cost Effectiveness In Development Requires Emphasis On Planning, Coordination", Gonser Gerber Tinker Stuhr Fund Raising Counsel Bulletin, Chicago: September, 1976, p. 2.

<sup>63</sup>Marlow H. Schaffner, "Planning: The Well Organized Development Program", Gonser Gerber Tinker Stuhr Fund Raising Counsel Bulletin, February, 1976.

<sup>64</sup>Edward R. Bagley, "How To Avoid Glitches In Planning", Readings In Educational Management, John M. Goode, ed., (New York: American Management Association, 1973), pp. 69-70.

tutional commitment; some administrators who are responsible for planning simply do not plan. Two, a lack of know-how; administration may be willing to plan or even interested in planning, but they do not know how to go about doing it, even after being taught the principles of planning. Three, an absence of ground rules; institutional administrators may be willing and able to plan, but they can still be hampered by the lack of institutional data, guidelines, or policies. Four, the possibility of ill-fitting plans, good individual plans cannot necessarily be synthesized into a performance institutional or departmental plan. Five, a lack of support; both individual and institutional plans sometimes have to be aborted because of a lack of minimal support services.

### Organizing

Butler speaks of the organizing function of the development officer as one which brings together the best efforts of the president and other key volunteers in the campaign:<sup>65</sup>

If the president must be the unquestioned leader of the campaign, how can the institutional development officer help the president to fulfill his important role in a capital campaign? First, the development officer must establish a close working relationship with the chief executive officer. Second, the president must decide if he is willing to devote the personal energies required of him. He must decide in consultation with his development officer the question of professional counsel, staffing, budgets and so forth. Third, in the organizational phase of a campaign, the president will continue to be a decision maker on questions of priorities within the program only as he is continuously supported with data from the development officer.

Seymour speaks of organizing as coordinating the efforts of the power structure:<sup>66</sup>

The most important elements in the process of organization are influence and action. Sponsorship, for instance, is fine for creating confidence, and confidence you must have. But the dynamics never come without influence and action. The best way to get influence, in any kind of campaign, is to seek out the power structure. And everywhere, in all communities,

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<sup>65</sup> John P. Butler, III, "The Role Of The President And Trustees", Papers In Educational Fund Raising, (Washington, D.C.: American Alumni Council, 1972), pp. 139-140.

<sup>66</sup> Seymour, p. 67.

the power structure comprises these four groups: those who have inherited both wealth and a tradition of public service; the newly rich and powerful; the top professional managers of key corporation; and what John Kenneth Galbraith calls 'men of standing'.

These men are always there. They conform to similar standards, follow and respect patterns of habitual success, patronize the same resorts, and are very likely to know each other. They have the influence. And then good management, (from the development officer), can produce the action.

Frantzreb speaks of the work of the development officer in organizing as "working the plan":<sup>67</sup>

With all the preparation, priorities can be set for each officer, each volunteer and each staff member. But working the plan cannot be accomplished in the offices. Salesmen must make calls-- investigatory and/or involvement/contact calls, but calls nevertheless. The proclivity to shuffle papers is an administrative disease... Managing any organization or group is a process consisting of a stream of decisions and actions which are designed and coordinated to enable people to employ their skills, abilities, values, and the resources they can command, to achieve specifically determined purposes of the organization in an effective and efficient manner.

Hale speaks of the organizing function of the development officer as, again, bringing together the best efforts of all volunteers, from the president on down:<sup>68</sup>

Coordination from all related offices is important in producing maximum results. The development office must see to it that public relations, student recruitment, and the offices of president, dean of students, and academic vice president are all coordinated in the fund raising effort. Coordination and planning of all offices and groups involved in an event a program related to fund raising must come from the development officer and his staff.

Tinker reiterates the importance of team effort under the

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<sup>67</sup>Frantzreb, pp. 5-6.

<sup>68</sup>Hale, p. 4.

direction and through the coordination of the development director:<sup>69</sup>

Rarely does the credit for obtaining a million dollar gift belong to one person alone. Normally, many persons, staff and volunteers, are involved over a considerable period of time. The chief development officer is not necessarily the person who solicits the major gift, although he or she may be, but the development director must assign priority to major gifts as far as allocation of time, staff, and budget in the development department is concerned. In addition, it is the responsibility of the development officer to keep reminding, prompting, and urging trustees, the president, faculty, staff, and even students of their responsibilities in the major gift effort.

Frantzreb speaks again of the organizational responsibility of the development officer:<sup>70</sup>

The case statement of the institution is assumed as the thread linking all parts of the solicitation process together. The eventual success of any solicitation depends upon the judgment and sensitivity of the sales manager-- the development officer-- to ascertain the readiness of all concerned. The positioning of the institution, of the sales program, of prospect research and cultivation and of solicitor training reflects as much on the development officer as anyone else.

### Staffing

Timmons speaks of the knowledge base and skills which development officers seek in selecting staff members:<sup>71</sup>

Development as a concept and the director of development as a key administrator have brought new dimensions into the administration of colleges and universities. Effective development programs have helped to establish credibility for their institution, in a management sense, when staff members possess the following qualities--

1. Understanding of Higher Education. A college or university

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<sup>69</sup> Robert Tinker "Obtaining Major Gifts For A College Or University Requires A Team Effort", Conser Gerber Tinker Stuhr Fund Raising Counsel Bulletin, Chicago: July, 1976, pp. 1-2.

<sup>70</sup> Frantzreb, p. 4.

<sup>71</sup> Christian L. Timmons, Staff Selection: The Development Office, (Washington, D.C.: Council For The Advancement Of Small Colleges, 1978), Introduction.

is essentially different from a business. A deep interest in and understanding of the changing nature and complexity of higher education today is essential.

2. Understanding and Commitment To Your Particular Institution. Each institution requires different attitudes, capabilities, and commitment from the development staff members.
3. Ability To Be An Extension Of The President's Office. The development staff member must have the confidence of the president and be able to represent the president's aims and objectives at the meetings he/she attends.
4. Responsibility. The development staff member must accept responsibility and be accountable. He is consistently measured by the amount of gift support obtained.
5. High Standards. No part of the college or university deals with or influences the institution's publics so directly as development and public relations. Standards of accuracy, good taste, promptness, and timing must be stressed and maintained.
6. Ability To Get Things Done. A good development staff member knows how to go through channels. He knows how to touch bases with key officials and leaders. He understands the proper techniques. He is interested in results.
7. Self Starter. Great personal initiative is required.
8. Ability To Work Hard For Sustained Periods. Robust health and the drive to succeed are needed.
9. Motivation. The development staff member must be able to motivate others and motivate himself.
10. Ability To Get Along With Others. A development staff member must be personable, must like to meet people, and be genuinely interested in them.
11. Lines Up To A Schedule. Is able to schedule his own time and the time and activities of others.
12. Ability to Communicate. The good development staff member is an effective communicator-- especially through the written word in an effective letter, memorandum, or proposal.
13. Be Numerate As Well As Literate. There is present in all successful development staff members a high interest in and ability to understand financial compassions, figures, and reports.



14. Volunteer Orientated. A good development staff member is eager to involve others, to widen the scope of the institution's active participants, to give the limelight to the volunteer, and to share the credit with others.
15. Achievement Orientated. Development staff members get much pleasure and satisfaction out of getting things accomplished, out of a job well done, and out of seeing their efforts help their institution to remain viable, effective, and useful to society.

Cox speaks of the staffing function of the development officer as fundamental to the success of the fund raising program:<sup>72</sup>

How do you choose staff members; where do you find them; how do you train them; and how do you use them? All crucial questions. As a general principle, I am less impressed by a man's basic skills in reading, writing and figuring the fund raising mystique than I am by his general quality; by his ability to transmit a certain confidence in the project to which he is assigned, or in the overall goal of which it is a part. Where do you find these potential staffers? I suggest you look first within your own institution. It is a sad commentary on the health of the national educational enterprise that it is probably easier to find an english teacher than a development office staff member. If you have to choose between a relatively inexperienced person who knows well, and is well known to, the institution, and a semi-experienced professional who knows nothing about your college, I'd take the former. If you're starting from scratch to look, seek among your own constituents-- alumni, parents, even neighbors, along with your faculty. In recent months, major institutions have recruited top alumni and development staffers from among their own recently elected alumni leaders.

Habecker deals with a technical element of staffing, that of generating the job specifications and position descriptions:<sup>73</sup>

When a new position is created or an existing position becomes vacant, job specifications must be drawn up before the vacancy

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<sup>72</sup>William J. Cox, Leadership, Staff, And The Role of Professional Counsel, (Washington, D.C.: American Alumni Council, 1977), pp. 115-116.

<sup>73</sup>Eugene B. Habecker, Affirmative Action In The Independent College: A Practical Planning Model, (Washington, D.C.: The Council For The Advancement Of Small Colleges, 1977), pp. 116-117.

is announced and candidates are interviewed. A job specification document lists the characteristics, abilities, experiences, and skills needed for the duties, responsibilities, and authority of the position.

Although there are many similarities between job specifications and position descriptions, there are some differences that should be mentioned. A job specification defines and lists sought-after skills, experiences, and characteristics. It is the document that is produced after job analysis is completed, and it is the primary source document used in hiring activities and in writing the position description. The position description, which is based on the job specifications, becomes part of contractual documents and is included in the organizational manual. The position description usually includes the following element-- effective date, title, division in which the position is located, goals of the position, duties, the person to whom the job holder reports in the organizational structure, and conditions of employment. An important reason for developing the job specifications and position description is that these documents can be used to create performance standards, which are used as evaluative tools.

### Leading

Though not specifically related to fund raising, Burns' comments apply broadly to the theory and practice of leadership:<sup>74</sup>

The crisis of leadership today is the mediocrity or unresponsibility of so many of the men and women in power... The fundamental crises underlying mediocrity is intellectual. If we know all too much about our leaders, we know far too little about 'leadership'... I describe leadership here as no mere game among elitists and no mere populist response but as a structure of action that engages persons, to varying degrees, throughout the levels and among the interstices of society... I hope to demonstrate that the process of leadership must be seen as part of the dynamics of conflict and of power; that leadership is nothing if not linked to collective purpose, that the effectiveness of leaders must be judged not by their press clippings but by actual social change measured by intent and by the satisfaction of human needs and expectations... Searching always for the moral foundations of leadership, I will consider as truly legitimate only those acts of leaders

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<sup>74</sup> James MacGregor Burns, Leadership, (New York: Harper and Row, 1978), Prologue.

that serve ultimately in some way to help release human potentials now locked in ungratified needs and crushed expectations.

Cox takes a rueful look at leadership:<sup>75</sup>

Where lies the development officer's effectiveness with the little band of willful men? Now that you are Richard the Lion Hearted out in front of the Crusade, what is your role? The essence of any program is a series of related tasks which must be accomplished. You display your skill when you can isolate the factors needed for accomplishment of the next steps and get them done. The essence of your staff work is to furnish the viable alternative for those who work for and with you. You keep an eye on the time tube and the budget. You see that volunteers get proper recognition along the way; and especially when it's all over, because you may want them for the next Crusade!

Cox continues:<sup>76</sup>

The happy productive staff is one that is led, not driven; that has well delineated areas of responsibility; that receives adequate but not suffocating direction from above, and ready and able support from below; that participates in planning and decision making, that feels a strong personal role in the total program; that has opportunities for advancement based on merit; that is praised in public and criticized in private; and that functions no better or more when the boss is at home than when he is out hustling money.

Tannenbaum and Schmidt discuss three current theories of leadership, any one of which could be applied to the functioning of the development officer:<sup>77</sup>

Three leadership theories seem most appropriate to the daily practices of the college or university administrator. They are 'trait' theory, 'situational' theory, and 'interactive' theory. For the last forty years most researchers and theorists have concentrated on identifying characteristics (traits) that are common to leaders. We have reviewed 125 studies of leadership and personality characteristics and found that intelligence and personal adjustment seem to be consistently correlated with

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<sup>75</sup>Cox, p. 117.

<sup>76</sup>Cox, p. 119.

<sup>77</sup>Robert Tannenbaum and Warren H. Schmidt, "How To Choose A Leadership Pattern", Harvard Business Review 51 (May-June 1973) p. 167.

leadership. Situational leadership theory suggests that different types of leadership are needed for different times and in different settings. Situational theory is based on the assumption that leadership is dependent upon the willingness of others to follow. In recent years a new theory, the interactive theory, has emerged. It emphasizes the interaction between the characteristics of the leader and the situation in which the leadership is exerted.

Cribbin speaks of the difficulty of describing in detail the process by which someone becomes a leader. He states;<sup>78</sup>

An annoying aspect of managerial leadership is that the phenomenon is readily observed in an organization or institution; yet how one becomes a leader defies precise explanation. Some people have a knack for assuming a leadership role and being accepted and followed by a group, whereas others would have difficulty leading a horde of hungry orphans to a hot dog stand... It seems clear that thinking of managerial leadership in terms of absolutes is largely futile. It is far wiser to think of it in terms of the interaction of several variables. As far as leadership characteristics are concerned, such universal characteristics as intellectual acumen, prudently channeled initiative, resourcefulness, sensitivity to the feelings of others, and the ability to motivate and communicate are always assets.

Leadership in the context of fund raising means that the development officer will help to bring about the realization of the institutional goals although the efforts of other, whether they be the president, trustees, faculty, or his own staff. Through communication, motivation/and good example, the program will have the potential for success. Each member of the fund raising team, whether paid professional or volunteer, has a part to play, but it must be the development officer who directs the ensemble.

### Evaluating

Frantzreb speaks of responsibility, accountability, and pro-

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<sup>78</sup>James J. Cribbin, Effective Managerial Leadership, (New York: American Management Association, 1972), pp. 18-20.

ductivity in terms of evaluating the fund raising program:<sup>79</sup>

The role of the development staff managing the development function promises new dimensions of responsibility, accountability, and productivity. These 'buzz' words will become serious evaluation factors in the 1980's far more widely applied to the development function than heretofore. Fortunately, at the same time, development/institutional advancement personnel will become more widely accepted within the institution as depending for gift/grant income increases. Evaluation of programs accepted as traditional will give way to creative utilization of computer technology and cost-benefit analyses. I suggest that each institution must assess or reassess the role of development in terms of productivity requirements in the next 3 to 5 years.

Then the chief development function must be evaluated in terms of those goals and objectives. Only then the chief development officer must be evaluated in terms of personality, personal characteristics, and demonstrated experience in terms of talent to manage and skills to manage. Underlying all of the above, is the assumption that evaluators are proven managers themselves.

Stott speaks of regularly scheduled, periodic evaluation to determine if the program is on target:<sup>80</sup>

When your campaign is on a plateau, what do you as the chief development officer do? First, acknowledge the plateau and identify the problem; go to a period of fact finding/diagnosis and produce a new mini-plan.

Second, refocus on educational objectives, on the university's basic mission and consider the campaign as the financial bridge between what we are and what we dream. Third, seek a new giving mechanism; if it is a time when even the affluent feel it unwise to make large cash commitments, refocus on gifts of land or other assets.

Levinson comments on the utilization of performance appraisal as a form of evaluation utilized in institutions and corporations:<sup>81</sup>

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<sup>79</sup>Frantzreb, p. 2.

<sup>80</sup>James L. Stott, "Moving Off A Campaign Plateau", CASE Currents, Vol. V, No. 3, March, 1979, pp. 38-40.

<sup>81</sup>Harry Levinson, "Appraisal Of What Performance", Harvard Business Review (July-August, 1975) pp. 30-32.

Most performance systems in most companies and institutions focus on results of behavior while in reality people are judged as much on how they get things done. Performance appraisal has three basic functions: (1) to provide adequate feedback to each person on his or her performance; (2) to serve as a basis for modifying or changing behavior toward more effective working habits; and (3) to provide data to managers with which they may judge future job assignments and compensation. Yet present systems of performance appraisal do not serve any of these functions well...

As it is customarily defined and used, performance appraisal focuses not on behavior but on outcomes of behavior... Performance appraisal needs to be viewed not as a technique but as a process involving both people and data. The outcome of behavior rather than the behavior itself is what is evaluated. The job descriptions itself is the root of the problem... If a static job description is at the root of the inadequacies of performance appraisal systems, what is needed is a different kind of job description. What we are looking for is one that amplifies statements of job responsibility and desired outcome by describing the emotional and behavioral topography of the task to be done by the individual in the job.

Kendrick and Huff discuss the evaluation of the development staff members through the use of MBO at a private university.<sup>82</sup>

Our summary of the evaluation of the development staff at SMU left us with strong opinions that one, management must be human in order to endure and it must also be objective; two, performance should be rewarded, and therefore must be evaluated; and three, evaluation should monitor progress, assess and redistribute available resources, identify obstacles to success and produce plans to overcome them. We have, therefore, isolated the following ingredients for a successful evaluation--

- a. believe in each person, his inherent worth, his capacity for growth and change and his ability to cope with life situations.
- b. establish a one-on-one relationship; insure an atmosphere of freedom so a person can express himself without fear of criticism or censorship.
- c. have a favorable location that is private and free from interruption.

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<sup>82</sup> Moffett Kendrick and Charles Huff, Evaluating Your Staff: A Case Study, (Dallas, Texas: Southern Methodist University Publications, 1978).

- d. have respect for the many varieties of people, attitudes, and beliefs; be genuinely concerned for their feelings, values, goals, and ideals.
- e. maintain an objective point of view.
- f. be a good listener; make your part of the conversation such as to keep the subject in view and to assist in thinking things through.
- g. let the other person assume a lead role in making the decisions, never use pressure to get agreement with you.
- h. always end on an optimistic note, have the state well set for positive results in the days ahead.

### Developing

Cribbin suggests some approaches to developing subordinates:<sup>83</sup>

No amount of leadership strength can replace the need for the manager to develop his key people. The aim of subordinate development is to give people a sense of purpose in working with, rather than merely for, the manager. Although any interested superior can do many things to help his people grow, four areas are critical. He must work out with them the objectives for which they will be held responsible; this requires the setting of achievement targets. He must provide them with reasonable assistance in attaining these goals through coaching and counseling. He must insure them sufficient freedom to achieve, which involves delegation. And he must hold them accountable for the results of their effort, which is the function of performance and development reviews.

Tinker articulates those areas in which staff members should grow in awareness and effectiveness to produce greater results in the solicitation of major gift monies:<sup>84</sup>

- 1. Higher levels of financial support for both current operations and capital growth.
- 2. Coordination of administrative activities involved in obtaining understanding and support.

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<sup>83</sup>Cribbin, pp. 178-180.

<sup>84</sup>Tinker, p. 4.

3. Continuity of effort rather than sporadic campaigns.
4. Combination of simultaneous approaches to donors for support through the annual fund, capital programs, and estate planning.
5. Emphasis upon educational purposes, programs, and ideas.
6. Academic blueprints and long range, comprehensive educational plans.
7. Sound management techniques applied to higher education.
8. The indispensable role of the volunteer in obtaining understanding and support.
9. Accountability to the donor and to all publics.
10. Proper cultivation, recognition, and gratitude for the donor on whose support higher education depends.
11. Realization of the necessity for continued communication and interpretation of the institution to its publics.

Frantzreb suggests a program for staff development that has the potential for increasing the individual and collective effectiveness of the fund raising team:<sup>85</sup>

To institute a collegial development system will require the reorientation, retraining even retreading of died-in-the-wool separatists. The plain and simple fact is that no longer can any but the heavily endowed college afford vertical functions-- alumni affairs staff only for alumni relations; fund raising personnel insensitive to other staff functions; or publications failing to include fund raising features in every issue.

To begin to expand the horizon of pigeon-holed personnel, I suggest a series of internal staff training sessions preferably in a retreat setting where each 'professional' can unwind and reorient perceptions and horizons into new levels of personal and professional satisfaction. Such retreats must be carefully structured to be constructive; to provide for self and group evaluation sessions for programs from past and future perspectives. These sessions should be informal, stimulating, open, mind-expanding, creative, and relaxing. In the beginning two such sessions will be required in one year to connote

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<sup>85</sup>Frantzreb, p. 3.



seriousness of intention to develop a collegial system of mutual concerns.

Galloway and Fisher conclude with a comment on the need for administrator development for future contingencies:<sup>86</sup>

Programs of administrator development should be designed to prepare the college administrator not only for current problems but also for those of the near future. Those who predict the future roles of college administrators usually begin by extrapolating from current trends, which indicate that American colleges and universities are likely to make greater use of institutional research officers, management information systems, student service personnel who focus on preventative action, and fund raising staffs comprised of well-trained generalists. Finally, the college administrator, whether at the small private college or the large university, will need political, legal, financial, interpersonal, evaluative, and collaborative skills to meet new expanded institutional roles.

It seems appropriate to include in this chapter comments from perhaps one person who is synonymous with private higher education in America--- Theodore M. Hesburgh, C.S.C., president of Notre Dame University.

Father Hesburgh has written extensively on values in higher education, the role of the private institution, and the various sources of revenue available to private institutions to supplement tuition/fee revenue.

In a most pointed manner, Father Hesburgh articulates the challenge of the private institution in contemporary society.

Father Hesburgh writes:<sup>37</sup>

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<sup>86</sup>Sylvia W. Galloway and Charles F. Fisher, eds., A Guide To Professional Development Opportunities For College And University Administrators, (Washington, D.C.: American Council on Education, 1978) Chapter II.

<sup>87</sup>Theodore M. Hesburgh, C.S.C., The Hesburgh Papers: Higher Values In Higher Education, (Kansas City: Andrews and McMeel, Inc., 1979), p. 31.

The university is the only institution in modern society that is largely supported by society and yet claims a unique autonomy to criticize the very society that once gave it birth and now gives it financial support. There will always be governments and other university sponsors, such as churches and corporations, who will gag on this demand of autonomy. Yet, I would have to say quite proudly that in America, those who govern universities have managed in a superlative way to maintain the university's autonomy against all external and internal threats to the essential independence of the university community. As the universities, even the private ones, depend more and more upon the federal and state governments for support, there will, I think, be increasing occasions for us to resist the bureaucratic urge to interfere with the university's essential independence... We must be morally responsible in our exercise of autonomy, but within the moral parameter, we must be ever ready to say-- take your support, we would rather have our freedom. This is always easier for private universities, who have other means of support, and this is one of the best reasons to maintain a balance of distinguished private as well as public universities in this land. In a very real way, our inherent independence and autonomy as private universities guarantees the same for the public universities!

The purposes of this chapter were threefold: (1) to present an historical overview of philanthropy in American higher education both public and private, (2) to trace the evolutionary process in administration culminating in the designation of the development officer as responsible for the fund raising program at a particular institution, and (3) to comment upon the role of the development officer on planning, organizing, staffing, leading, evaluating, and developing.

Chapter III will contain a presentation of the research data gathered from responses made to a questionnaire mailed to a sample population of one hundred selected chief development officers around the country and from indepth interviews conducted with five chief development officers not included in the original sample.

The basic design both for the questionnaire and the interview guide is based upon the administrative model developed by Sprunger and Berquist.

## CHAPTER III

### PRESENTATION OF DATA

The study is concerned with fund raising for private higher education in general, and the role of the development officer in particular.

The collection of data for this study was divided into three steps. The first step included a review of pertinent literature. This review is contained in Chapter II.

Chapter III contains the responses generated from (1) the questionnaire-- survey mailed to one hundred development officers around the country; and (2) the personal interviews conducted with five development officers from the designated case-study institutions.

The basic design for the questionnaire instrument is based upon the Sprunger model which articulates six administrative functions: (1) planning; (2) organizing; (3) staffing; (4) leading; (5) evaluating; and (6) developing.

Step two included developing, validating, and disseminating the instrument to survey the current practices of selected development officers as these practices relate to the Sprunger model.

After a rough draft of the instrument was completed, the instrument was submitted to three experts in the field of fund raising who would not be included in the sample population:

1. James L. Fisher, Ph.D  
President  
Council For Advancement and Support Of Education  
Washington, D.C.
2. Arthur C. Frantzreb  
President  
Arthur C. Frantzreb, Inc.  
Consultants in Philanthropy  
MdLean, Virginia
3. Martin Grenzebach  
Vice President  
John Grenzebach and Associates, Inc.  
Chicago, Illinois

Each of the experts contributed comments which were incorporated into the final questionnaire instrument. An example of an improvement made subsequent to the expert review was the inclusion of an introductory section which dealt with the personal, educational, and professional background of the respondent.

The sample population included only those development officers responsible for the fund raising program at their particular institution. The criteria utilized in selecting the sample population were related to the institution's identification as (1) one which is private and/or sectarian in governance; (2) based upon the liberal arts curricular tradition; and (3) functions at the four-year college or university level.

The CASE Membership Directory provided the names of development officers and the requisite information about their institution. Institutions included in the sample population are located throughout the continental United States.

To complement the responses from the questionnaire, personal interviews were held with the chief development officers of five

institutions. These interviews, considered step three, provide an indepth look at the fund raising program at five separate institutions located in various parts of the country. Three interviews were conducted at the office of the director. Two interviews were conducted during a national meeting of development officers in private higher education held in Chicago, Illinois

Chapter III is divided into two basic sections. The first section includes a question-by-question reporting of the responses to the questionnaire, including narrative comments made by the respondents. Of the one hundred questionnaires disseminated, sixty-seven were returned in completed form.

Such a high degree of response can be attributed to (1) the identification of the proper administrator at each institution in contrast to sending a questionnaire to either an "office" or a "title"; (2) the personal appeal contained in the cover letter accompanying each questionnaire and the promise of anonymity given to each potential respondent; and (3) the high degree of professionalism and support evident in the number of responses and the personal letters accompanying the completed questionnaires.

The second section includes (1) background information related to each case-study institution / development officer; (2) the responses to the questionnaire from each case-study officer, followed by a detailed narrative of the responses made during the personal interview.

The questionnaire instrument is divided into six sections, each related to one of the administrative functions. The personal interview was structured so as to elaborate on each of the functions as each is

related to the day-to-day activities of the director and his staff. Interview questions were formulated and presented based upon the responses of each development director to the appropriate section of the questionnaire. The intent of the study is to preserve, where possible, the language and style of each respondent. Thus, the detailed narrative is comprised of responses in the form of direct quotations generated during each interview. Each respondent was guaranteed personal and institutional anonymity. Under no circumstances will the study reveal the name of either the case-study officer or his institution.

#### PLANNING

1. Does your institution utilize an institution-wide system of long range planning?

	<u>%</u>	<u>#</u>
YES	72	48
NO	28	19
NO RESPONSE	—	<u>0</u>
	100	67

#### Comments:

- a. developing a more sophisticated system through utilization of EDP (Electronic Data Processing)
- b. planning committee developing a more sophisticated planning model
- c. long range planning becoming a high priority item required by board of trustees
- d. no, but we should move in that direction
- e. the board has mandated this approach but not yet implemented

2. Do your responsibilities include participation in the long range planning process?

	<u>%</u>	<u>#</u>
YES	72	48
NO	24	16
NO RESPONSE	<u>4</u>	<u>3</u>
	100	67

Comments:

- a. yes, as members of the institutional planning task force
- b. I report to the planning committee, but am not a member
- c. only president, vice president for finance, vice president director of institutional research
- d. our institution does not utilize long range planning
- e. I sit on the long range planning committee

3. Are you ultimately responsible for planning in your area?

	<u>%</u>	<u>#</u>
YES	85	57
NO	12	8
NO RESPONSE	<u>3</u>	<u>2</u>
	100	67

Comments:

- a. president and trustees committee ultimately plan the development and public relations programs
- b. planning done by each vice president
- c. yes, but approval needed from president and board of trustees



## 4. Are you responsible for budget preparation in your area?

	<u>%</u>	<u>#</u>
YES	94	63
NO	6	4
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- submitted to the president for approval
- consult with each area head in my area and work up final budget for presentation to budget committee, comprised of president, vice president of finance, controller, president of faculty senate
- yes and no; submit rough draft for approval to president
- staff develops their own and submits it to me

## 5. Does your institution's information system provide monthly expenditure reports?

	<u>%</u>	<u>#</u>
YES	88	59
NO	12	8
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- there is no monthly budget expenditure reporting procedure
- monthly print outs
- no, but we need it
- director of institutional research responsible
- new computer system gives this data
- EDP process a tremendous budgetary tool

## 6. Do you function with line authority?

	<u>%</u>	<u>#</u>
YES	100	67
NO		0
NO RESPONSE	<u>      </u>	<u>  0  </u>
	100	67

## Comments:

- a. yes, as a president's cabinet member
- b. of course

## 7. Do you report regularly to a committee of the board?

	<u>%</u>	<u>#</u>
YES	75	50
NO	22	15
NO RESPONSE	<u>  3  </u>	<u>  2  </u>
	100	67

## Comments:

- a. only once a year, but am developing a rationale for more frequent reports
- b. development and public relations committee
- c. president reports to board
- d. ex officio though non-voting member of development committee
- e. report at each meeting, four times a year
- f. report but don't vote on development and public relations committees

8. Do your subordinates participate in the planning process in your area?

	<u>%</u>	<u>#</u>
YES	100	67
NO		0
NO RESPONSE	<u>    </u>	<u>0</u>
	100	67

Comments:

- a. at regularly held staff meetings
- b. planning seminar-retreat each summer

9. Have you modified the goals in your area to meet the current trends in giving programs in higher education?

	<u>%</u>	<u>#</u>
YES	69	46
NO	30	20
NO RESPONSE	<u>1</u>	<u>1</u>
	100	67

Comments:

- a. greater emphasis on unrestricted gifts
- b. goals, no
- c. the priorities accorded different paths to those goals, yes
- d. greater effort in endowment, estate and deferred giving  
(3 responses on deferred)
- e. new capital campaign
- f. not a good question
- g. don't know how to answer

10. Are you responsible for the "market research" of potential donors?

	<u>%</u>	<u>#</u>
YES	97	65
NO	3	2
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. via the research department
- b. what's market research?
- c. I am responsible and accountable!

11. Does your institution employ a director of institutional research for long range planning?

	<u>%</u>	<u>#</u>
YES	60	40
NO	40	27
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. not someone with that specific title
- b. no director of institutional research
- c. not for long range planning, only for government and foundation grants and forms
- d. director of information systems and planning

12. Does the board of trustees participate in the planning of goals and objectives in your area?

	<u>%</u>	<u>#</u>
YES	87	58
NO	12	8
NO RESPONSE	<u>1</u>	<u>1</u>
	100	67

Comments:

- a. Development/University Relations Committee and Volunteer Program Leadership participate, but mostly approve
- b. staff plans
- c. in an overseer role
- d. very limited role
- e. only in an approval capacity
- f. only for formal approval
- g. yes, the development committee
- h. not really, only on formal budget approval basis-income/expenses

ORGANIZING

1. Is each of your subordinates responsible for a specific portion of the fund raising program?

	<u>%</u>	<u>#</u>
YES	96	64
NO	4	3
NO RESPONSE	<u>   </u>	<u>0</u>
	100	67

## Comments:

- a. not hard and fast, but generally, yes
- b. each area has an administrator
- c. through functional organization, yes
- d. publications, news bureaus, development records, special events staff do not have direct fund raising duties
- e. we have individual "source" goals but work as a team, total goal is all our responsibility

## 2. Do you make additions to your staff in response to specialization in fund raising responsibilities?

	<u>%</u>	<u>#</u>
YES	81	54
NO	18	12
NO RESPONSE	<u>1</u>	<u>1</u>
	100	67

## Comments:

- a. have built a staff around "source" of gifts
- b. not specifically for an activity, per se
- c. hire generalists
- d. what do you mean by this question
- e. a team effort
- f. greater specialization requires specialists at experienced levels, not entry-level people

3. Is the present organizational structure of your institution consistent with the mission and goals of the institution?

	<u>%</u>	<u>#</u>
YES	96	64
NO	3	2
NO RESPONSE	<u>1</u>	<u>1</u>
	100	67

Comments:

a. we are understaffed for such an important area

b. poor question

4. Does the organizational structure provide distinct systems for policy development and policy implementation?

	<u>%</u>	<u>#</u>
YES	94	63
NO	4	3
NO RESPONSE	<u>2</u>	<u>1</u>
	100	67

Comments:

a. not systems but lines of authority

b. unclear question

5. Do you provide clear lines of accountability and provide sufficient authority for your staff members to carry out their assigned tasks?

	<u>%</u>	<u>#</u>
YES	88	59
NO	7	5
NO RESPONSE	<u>5</u>	<u>3</u>
	100	67

## Comments:

a. of course

b. both accountability and responsibility are important

6. Does the committee structure of the board of trustees provide for a development committee?

	<u>%</u>	<u>#</u>
YES	97	65
NO	3	2
NO RESPONSE	<u>      </u>	<u>0</u>
	100	67

## Comments:

a. finance committee handles development

b. in specific finance committee

7. Are you an ex officio member of the development committee?

	<u>%</u>	<u>#</u>
YES	48	32
NO	52	35
NO RESPONSE	<u>      </u>	<u>0</u>
	100	67

## Comments:

a. director of development and vice president of public affairs are

b. rest of staff participates in general meetings four times a year

c. I act as secretary, but don't vote

d. only trustees and president on committee

e. not voting, only make reports



8. Are you responsible for coordinating the fund raising activities of president and trustees for major gifts?

	<u>%</u>	<u>#</u>
YES	88	59
NO	12	8
NO RESPONSE	<u>      </u>	<u>0</u>
	100	67

Comments:

- a. development committee and president do their own coordination of major gift solicitation
- b. not for capital campaign

9. Has board membership been expanded recently both in numbers and in professional background?

	<u>%</u>	<u>#</u>
YES	37	25
NO	61	41
NO RESPONSE	<u>2</u>	<u>1</u>
	100	67

Comments:

- a. but I have recommended both
- b. no, but we are working on it
- c. but under consideration for broader approach
- d. in past ten years, membership gone from 20 to 40 and quality substantially improved
- e. slightly

10. Is the board self-perpetuating or are members elected by various institutional constituencies?

	<u>%</u>	<u>#</u>
YES	88	59
NO	9	6
NO RESPONSE	<u>3</u>	<u>2</u>
	100	67

Comments:

- a. except two alumni trustees elected; must be approved by the board
- b. what's self-perpetuating?
- c. church appoints 11, and alumni association appoints 1
- d. both
- e. 6 elected, 12 appointed
- f. half and half
- g. self-perpetuating, except for alumni association president who is ex officio, non-voting
- h. both
- i. what's self-perpetuating?

11. Does board membership include student representative?

	<u>%</u>	<u>#</u>
YES	12	8
NO	88	59
NO RESPONSE	<u>      </u>	<u>0</u>
	100	67

Comments:

- a. the president of the student government becomes a voting member of the board upon graduation, serving a two-year term

- b. our board does not reflect constituencies, per se on a quota system
- c. yes, but not voting
- d. visitor status only

12. Are trustees' meetings open to the public?

	<u>%</u>	<u>#</u>
YES	6	4
NO	93	62
NO RESPONSE	<u>1</u>	<u>1</u>
	100	67

Comments:

- a. public doesn't attend
- b. students and faculty send representative to observe
- c. sometimes
- d. only committee session, not general session

13. Does the institution provide orientation for new board members?

	<u>%</u>	<u>#</u>
YES	88	59
NO	12	8
NO RESPONSE	<u>    </u>	<u>0</u>
	100	67

Comments:

- a. much improvement needed
- b. it's an institutional weakness
- c. but not enough
- d. but we should

14. Does the institution provide in-service programs for incumbent trustees?

	<u>%</u>	<u>#</u>
YES	37	25
NO	60	40
NO RESPONSE	<u>3</u>	<u>2</u>
	100	67

Comments:

- a. what's in-service?
- b. important for the future
- c. not enough, though
- d. should but don't

15. Are you responsible for generating position descriptions for your staff members?

	<u>%</u>	<u>#</u>
YES	97	65
NO	3	2
NO RESPONSE	<u>0</u>	<u>0</u>
	100	67

Comments:

- a. but new one not developed in recent years
- b. personnel office does this
- c. I am responsible

STAFFING

1. Is educational background a criterion you utilize in staff selection?

	<u>%</u>	<u>#</u>
YES	80	54
NO	20	13
NO RESPONSE	<u>      </u>	<u>  0  </u>
	100	67

Comments:

- a. partly
- b. to degree as necessary
- c. some experience depending on the position
- d. one of many
- e. for professional staff
- f. not the most important
- g. BA minimum

2. Do you prefer to promote from within for staff positions of increased responsibility?

	<u>%</u>	<u>#</u>
YES	94	63
NO	4	3
NO RESPONSE	<u>  2  </u>	<u>  1  </u>
	100	67

Comments:

- a. but outside help often needed, all things being equal
- b. sometimes have to go outside

3. Does your staff include student workers who perform clerical and/or research duties?

	<u>%</u>	<u>#</u>
YES	57	38
NO	43	29
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. student service students on aid
- b. good exposure to fund raising
- c. no, all paid professionals (secretaries)

4. Is alumni status a prerequisite for position of alumni director at your institution?

	<u>%</u>	<u>#</u>
YES	48	32
NO	52	35
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. though past two have been
- b. but we do give considerable importance to it
- c. but preferable

5. Does your present position represent a promotion from within?

	<u>%</u>	<u>#</u>
YES	40	27
NO	60	40
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- a. from alumni director
- b. director of development
- c. in a 37 year career, chief officer at five women's colleges, never a subordinate, no "promotions"

6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

	<u>%</u>	<u>#</u>
YES	22	15
NO	78	52
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- a. president located me this way
- b. only for highly specialized position
- c. for director of development position

7. Do you have sole responsibility for hiring staff members?

	<u>%</u>	<u>#</u>
YES	75	50
NO	25	27
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- a. for hiring my staff, for hiring their staff, I delegate
- b. but I consult the president
- c. I approve what my subordinates suggest
- d. collaborative effort
- e. president must review and approve

8. Does your staff have the opportunity to interview job candidates?

	<u>%</u>	<u>#</u>
YES	100	67
NO		0
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. of course
- b. we meet and discuss by area
- c. area supervisor gets his own staff to review candidates

9. Do you hire entry-level staff members?

	<u>%</u>	<u>#</u>
YES	72	48
NO	28	19
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. depends on position
- b. usually sophisticated position like estate planning  
not entry-level
- c. or corporate/foundation work

10. Have you made recent additions to your staff in the following areas?

	<u>YES</u>		<u>NO</u>	
	<u>%</u>	<u>#</u>	<u>%</u>	<u>#</u>
Special	60	40	40	27
Deferred	58	39	42	28
Government	18	12	82	55
Corporate/Foundation	79	53	21	14





## 2. Do you hold regularly scheduled staff meetings?

	<u>%</u>	<u>#</u>
YES	96	64
NO	4	3
NO RESPONSE	<u>      </u>	<u>0</u>
	100	67

## Comments:

- a. weekly
- b. biweekly
- c. specially before trustee meetings
- d. meet informally

## 3. Are all your subordinates functioning in a peer relationship?

	<u>%</u>	<u>#</u>
YES	69	46
NO	30	20
NO RESPONSE	<u>1</u>	<u>1</u>
	100	67

## Comments:

- a. news bureau reports to publications director
- b. all others in a peer relationship
- c. alumnus director reports to director of development who reports to me
- d. below me, years

4. Does your area provide both formal and informal channels of communication?

	<u>%</u>	<u>#</u>
YES	100	67
NO		0
NO RESPONSE	<u>      </u>	<u>  0  </u>
	100	67

Comments:

- a. staff meetings
- b. seminars
- c. informal chats
- d. socializing

5. Do you provide staff members with increased responsibility through job enrichment?

	<u>%</u>	<u>#</u>
YES	82	55
NO	17	11
NO RESPONSE	<u>  1  </u>	<u>  1  </u>
	100	67

Comments:

- a. special events developed into trustee relations
- b. moved from assistant in alumni giving to corporate/foundation giving
- c. people remain within their areas

EVALUATING

1. Does your institution utilize an evaluation system such as MBO/R?

	<u>%</u>	<u>#</u>
YES	43	29
NO	57	38
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. modified MBO/R
- b. just the development officer, not institution
- c. modified to our purposes

2. Do your staff members sustain a regularly scheduled formal evaluation?

	<u>%</u>	<u>#</u>
YES	85	57
NO	15	10
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. semi-annual review
- b. but not too formal
- c. not formal
- d. annual review at contract time

3. Has your staff ever been evaluated by an outside consulting firm?

	<u>%</u>	<u>#</u>
YES	48	32
NO	52	35
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. through North Central
- b. evaluation done inside
- c. trustees retained outside firm
- d. outside fund raising counsel in preparation for capital campaign

4. Are you formally evaluated by your superior?

	<u>%</u>	<u>#</u>
YES	91	61
NO	9	6
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. only at contract time (formally)
- b. always indirectly
- c. the "balance sheet"
- d. the amount of money I bring in tells the story
- e. a new president may change to formal evaluation

5. Do your staff members have the opportunity to evaluate you?

	<u>%</u>	<u>#</u>
YES	30	20
NO	70	47
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. not formally

#### DEVELOPING

1. Do you provide new staff members with an orientation program?

	<u>%</u>	<u>#</u>
YES	87	58
NO	13	9
NO RESPONSE	—	<u>0</u>
	100	67

Comments:

- a. tours  
b. staff meeting-get together  
c. nothing formal  
d. no "program"

2. Do you provide expense-paid opportunities for staff members to attend professional conferences, meetings, etc.?

	<u>%</u>	<u>#</u>
YES	97	65
NO	3	2
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- a. they are encouraged to attend
- b. some air fare expenses are partially paid; limited per diem expenses
- c. becomes part of their evaluation

## 3. Do your staff members receive paid subscriptions/membership dues to professional organizations?

	<u>%</u>	<u>#</u>
YES	96	64
NO	4	3
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- a. CASE (Council for the Advancement and Support of Education)
- b. AAC (American Alumni Council)
- c. NAFR (National Association of Fundraisers)
- d. ACE (American Council on Education)

## 4. Has your institution recently been through an accreditation review?

	<u>%</u>	<u>#</u>
YES	75	50
NO	25	17
NO RESPONSE	—	<u>0</u>
	100	67

## Comments:

- a. North Central Association of Colleges and Secondary Schools
- b. coming next year
- c. Middle States Association of Colleges and Secondary Schools

- d. North West Association of Secondary and Higher Schools
- e. Southern Association of Colleges and Schools
- f. Western College Association
- g. New England Association of Colleges and Secondary Schools

5. Has your institution recently, (or ever), been engaged in a program of organizational development for administration/faculty?

	<u>%</u>	<u>#</u>
YES	16	11
NO	81	54
NO RESPONSE	<u>3</u>	<u>2</u>
	100	67

Comments:

- a. outside consulting firm
- b. a while both
- c. teacher improvement program from University of Massachusetts

6. Does the institution provide payment or reimbursement for educational expenses of staff members in your area?

	<u>%</u>	<u>#</u>
YES	96	64
NO	4	3
NO RESPONSE	<u>   </u>	<u>0</u>
	100	67

Comments:

- a. graduate school available at reduced rate
- b. professional education provided
- c. courses on campus are free
- d. off campus negotiated



INSTITUTION A

BACKGROUND INFORMATION  
ON INSTITUTION A

Institution A was founded in 1898 in response to the need for a private, comprehensive university which would serve a primarily urban population. The institution is located in a large urban center in the Midwest and has limited dormitory facilities on two large campuses.

Institution A includes the following academic components:

(1) the College of Arts and Sciences; (2) the College of Commerce; (3) the School of Music; (4) the School of Education; (5) the School of Law; and (6) the School of Drama.

Facts:

Total enrollment for academic 1978-79 is 11,350

Faculty numbering 600+

Operating budget of \$31,000,000

Average tuition of \$3,500

Room/board cost of \$1,800

Gift income for FY 1978-79 of \$6,150,000

Endowment of \$2,500,000

Board of Trustees comprised of 42 members, 40 elected and  
2 ex officio

Growth pattern reveals that of the 53,000 alumni produced  
by the university, 50% of these alumni have graduated in  
the last 15 years; pattern also reveals that the under-  
graduate enrollment has increased 51% in the past 13 years.

Excerpt from Institutional Case Statement:

"Institution A throughout its history has pursued a policy of

tight fiscal management. Except for contributions specifically designated by donors for current activities, (principally scholarship support), Institution A has been able to direct all its gift dollars toward institutional development.

A nationwide study of colleges and universities for fiscal 1978-79 reveals that the 73 major private universities addressed an average of 53.9% of their grand totals of private support to current operations. Some of these universities required as much as 100% of gift dollars to maintain ongoing operations.

In the past decade, Institution A has devoted only 23% of its gift income to current operations as compared with 73%, 68%, and 55% for the other major private universities in the area. The balanced-budget policy has enabled the University to use all gifts and grants, unless donor restricted, as advancement dollars designated to increase and refine the University's educational services to the community."

BACKGROUND INFORMATION  
ON THE DEVELOPMENT  
OFFICER AND STAFF

The chief development officer at Institution A currently holds the title of Director of Development and Public Relations. Having served in the development office in a variety of capacities for the past eight years, the director was named to head the development staff with the retirement of former director this past year. The current director holds a BS degree, has 15 years of experience in development, seven of which were gained working for a national social service agency, and directs a staff of nine.

## QUESTIONNAIRE RESPONSES

## PLANNING

1. Does your institution utilize an institution-wide system of long range planning?

  X   yes

       no

Comments

2. Do your responsibilities include participation in the long range planning process?

  X   yes

       no

Comments:

3. Are you ultimately responsible for the planning in your area?

  X   yes

       no

Comments:

4. Are you responsible for budget preparation in your area?

  X   yes

       no

Comments:

5. Does your institution's information system provide monthly expenditure reports?

  X   yes

       no

Comments:

6. Do you function with line authority?

  X   yes

       no

Comments

7. Do you report regularly to a committee of the board of trustees?

  X   yes

       no

Comments:

8. Do your subordinates participate in the planning process in your area?

  X   yes

       no

Comments:

9. Have you modified the goals in your area to meet the current trends in giving programs in higher education?

  X   yes

       no

Comments:

10. Are you responsible for the "market research" of potential donors?

  X   yes

       no

Comments:

11. Does your institution employ a director of institutional research for long range planning?

  X   yes

       no

Comments:

12. Does the board of trustees participate in the planning of goals and objectives in your area?

  X   yes

       no

Comments:

## PLANNING

"Factors which influence planning include a 7% increase in total enrollment in the last year. The urban college and university seems more appealing than the rural school because of lower living costs and employment opportunities. The institution did not anticipate such a dramatic increase in enrollment in one year.

In terms of long range planning, the institution hired a planning officer in 1977. There had not been institution-wide planning before then in an organized fashion. The president has initiated the formation of a president's planning council which consists of the president, the four vice presidents, the long range planner, and myself.

The council is responsible for developing the five-year plan and should be concerned with the following items: (1) curricular development; (2) enrollment projections; (3) facilities expansion and renovation; (4) staffing requirements; (5) and the needs of an ever-increasing older student body, as 55% of the present student body is 24 years of age or older.

Approximately 85% of the institution's income is generated from tuition and fees; the remaining 15% is gift/grand income. The categorical breakdown of the gift income by source includes; (1) 70% from annual/capital fund drives; (2) 25% from corporations; (3) and 5% from bequests, estates, and other deferred sources. Important to the planning function at the institution is the fact that approximately 33% of the gift income is restricted by the donor for specific purposes which thus limits the institution in the programs it can sponsor or initiate.

There has been a steady increase in the amount of alumni support and the income from alumni has increased 300% in the last decade.

From my perspective as the development director and my position on the planning council, the following issues are crucial:

(1) The objectives of the development office must be generated as part of the total institution-wide plan; these objectives must be integrated into the total plan for the institution on a five-year basis.

(2) There must always be a strategy to "do better than last year."

(3) All vestiges of helter skelter planning, which characterized this institution, must be erased.

(4) This office must get each staff member to participate in an overall plan for the development area, with specific goals and objectives developed; this would cover income and expenses."

#### QUESTIONNAIRE RESPONSES

##### ORGANIZING

1. Is each of your subordinates responsible for a specific portion of the fund raising program?

  X   yes

       no

Comments:

2. Do you make additions to your staff in response to specialization in fund raising responsibilities?

  X   yes

       no

Comments:

3. Is the present organizational structure of your institution consistent with the mission and goals of the institution?

  X   yes

       no

Comments:

4. Does the organizational structure provide distinct systems for policy development and policy implementation, i.e., for governance and administration:

  X   yes

       no

Comments

5. Do you provide clear lines of accountability and provide sufficient authority for your staff members to carry out their assigned tasks?

  X   yes

       no

Comments:

6. Does the committee structure of the board of trustees provide for a development committee?

  X   yes

       no

Comments:

7. Are you an ex officio member of the development committee?

  X   yes

       no

Comments:



8. Are you responsible for coordinating the fund raising activities of the president and trustees in the solicitation of major gifts?

  X   yes

       no

Comments:

9. Has board membership been expanded recently both in numbers and in professional background of individual trustees?

  X   yes

       no

Comments:

10. Is the board of trustees self-perpetuating or are members elected by various institutional constituencies?

  X   yes

       no

Comments:

11. Does board membership include student representation?

       yes

  X   no

Comments:

12. Are trustee meetings open to the public?

       yes

  X   no

Comments:

13. Does the institution provide orientation for new board members?

  X   yes

       no

Comments:

14. Does the institution provide in-service programs for incumbent trustees?

  X   yes

       no

Comments:

15. Are you responsible for generating position descriptions for your staff members?

  X   yes

       no

Comments:

### ORGANIZING

"To organize the efforts of the development office into the most efficient and effective generation of gift income, the case statement method is utilized. Basically, the case statement outlines the goals and objectives of the institution in terms of generating gift/grant income.

But the text or thrust of the case statement, while adhering to the basic "plan" is modified for each constituency which is to be reached. A different marketing approach is utilized depending upon whether the potential benefactor is: (1) a wealthy alumnus; (2) a wealthy non-alumnus; (3) a corporation; or (4) a foundation.

Also, the case statement must reflect the kind of support which is desired, that is either annual, capital, or endowment. The institution must be candid in stating the fact that restricted gift income does limit the initiative of the institution and that the more non-restricted gift income which can be generated the better for the growth and development of the institution into the next century.

A fundamental responsibility of mine is the assignment of the volunteer to make the solicitation call. The word "volunteer" is used here in the broadest sense, since the person making the call is often a professional staff member of the institution.

Solicitation is made by one or more of the following: (1) the president himself; (2) a member of the board of trustees; (3) a member of the development staff; or (4) a non-paid volunteer. It is my responsibility to determine who should make the call in order that a successful solicitation will result.

There must be a tremendous effort made to research the gift prospect, both in terms of the level of support possible and the project or program which would most interest the donor. For example, certain foundations will give to capital projects, others will not give to what is called "brick and mortar" projects.

It is my responsibility to orientate the new trustee to the institution and to its development program.

The Board of Trustees includes the following committees: (1) finance; (2) development; (3) nominations; (4) executive; (5) student affairs; and (6) academic affairs. The director of development is an ex officio member of the development committee.

The development committee works with the development staff in planning the goals of the fund raising program. But more work has to be done to involve the trustees in the planning of the program. Their function should not be limited to approving or disapproving the final fund raising plan, but to participate in the preparation of it.

There are 42 trustees, forty of whom are elected and 2 are ex officio, they being the president and the regional religious superior. The composition includes 34 lay men and women and 8 members of the founding religious congregation. It has been the goal of both the president and nominating committee to bring to the board as diverse a group of potential trustees as possible. There has been representation from a broader spectrum of professional, ethnic, racial, and personal backgrounds. Also, there has been less reliance upon alumni status as a sine qua non for trustee selection.

A final note regarding my responsibility in organizing the efforts of others for personal solicitation. It is a challenge to get the president out of his office and into situations, mostly social, where he can meet the potential benefactors. There must be lots of groundwork done before a formal solicitation is made. Regarding the trustees, it is crucial that the trustees reach out to their friends and associates for financial support and for volunteer solicitation support. A fund raising program can not succeed without a significant commitment from the trustees, especially a capital campaign."

## QUESTIONNAIRE RESPONSES

### STAFFING

1. Is educational background a criterion you utilize in staff selection?

  X   yes  
      no

Comments:

2. Do you prefer to promote from within for staff positions of increased responsibility?

  X   yes

       no

Comments:

3. Does your staff include student workers who perform clerical and/or research duties?

  X   yes

       no

Comments:

4. Is alumni status a prerequisite for the position of alumni director at your institution?

       yes

  X   no

Comments:

5. Does your present position represent a promotion from within?

  X   yes

       no

Comments:

6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

       yes

  X   no

Comments:

7. Do you have sole responsibility for hiring staff members?

       yes

  X   no

Comments:

8. Does your staff have the opportunity to interview job candidates?

  X   yes

       no

Comments:

9. Do you hire entry-level staff members?

  X   yes

       no

Comments:

10. Have you made additions to your staff in the following areas:

a. special gifts	<u>      </u>	yes	<u>  X  </u>	no
b. deferred giving	<u>      </u>	yes	<u>  X  </u>	no
c. government relations	<u>      </u>	yes	<u>  X  </u>	no
d. corporate/foundation gifts	<u>  X  </u>	yes	<u>      </u>	no

### STAFFING

"Staff members are hired in terms of their expertise related to one of the specific areas within fund raising and public relations.

A bachelor's degree is a minimum and some experience is required, especially in the more complex areas of estate planning. But the areas of alumni work would allow the hiring of entry-level people, especially a liberal arts graduate with some work in English and communications.

There is ample opportunity for internal promotion on the staff. The incumbent staff person charged with corporate giving was moved up from the alumni office to this position of increased responsibility. Corporate giving accounts for 25% of gift/grant income. What is needed is a staff person who can articulate our case to the corporate community and can demonstrate what mutual benefits accrue from their support-- financial support for us and good public relations for them.

Candidates for positions on the staff are contacted through ads in the CHRONICLE OF HIGHER EDUCATION, CASE publications, through the National Association of Fund Raisers, and through internal communications at the university. There is no prejudice against hiring someone from within if that person can meet the qualifications.

Above the minimum educational qualification, the prime concern is that the candidate have the personality to represent the university well with potential benefactors. The ability to get along with people, to like people, especially new people, and feel comfortable to ask people for money is crucial. Most people don't like to ask people for money. It's probably good that these people don't get into fund raising.

There is a strong influence to hire more women in the field of fund raising. There has been an influx of women in public relations, but not fund raising. This is changing. Some of the traditional prejudices against women making solicitation calls are beginning to fall before the argument that it is the most competent person who should be making the call, regardless of whether the person is a man or woman. There will be more women in key administrative positions in fund raising as in other university administrative positions in the future I hope."

## QUESTIONNAIRE RESPONSES

## LEADING

1. Was your educational background a criterion utilized in your selection for your present position?

\_\_\_\_\_ yes

  X   no

Comments:

2. Do you hold regularly-scheduled staff meetings?

\_\_\_\_\_ yes

  X   no

Comments:

3. Are all your subordinates functioning in a peer relationship?

  X   yes

\_\_\_\_\_ no

Comments:

4. Does your area provide both formal and informal channels of communication?

  X   yes

\_\_\_\_\_ no

Comments:

5. Do you provide staff members with increased responsibility through job enrichment?

  X   yes

\_\_\_\_\_ no

Comments:



## LEADING

"I have 15 years of experience in fund raising, the last eight spent at this institution. Previous experience gained at the United Way and the Crusade of Mercy.

The educational background is business administration and some marketing. My role as the development director presumes extensive knowledge of business terminology and the ability to read and interpret financial statements and forecasts.

The staff members are expected to have the necessary familiarity with figures and financial statements, though most of the staff are not business graduates.

Each member of the staff is expected to make a presentation at the staff meetings. I attempt to hold regularly scheduled meetings, but that is not always possible due to the travel schedule of the staff members. But there is some time set aside each summer to plan for the upcoming year. And there is time set aside in the fall to prepare for the winter board meeting when the budget is discussed.

As staff members grow professionally they are given more responsibility within their own area and can be considered for promotion within the development office.

Our staff members are encouraged to communicate both formally at staff meetings and informally on their own. Goals are met through the efforts of people and it is important that the staff members get to know one another and feel comfortable working with one another.

It is quite important that each staff member become somewhat familiar with the responsibilities of each other so that a team spirit can be developed. This also facilitates reassignment or possible promotion from within. Rarely does this office go outside for a staff member is someone on the staff has the necessary expertise."

## QUESTIONNAIRE RESPONSES

### EVALUATING

1. Does your institution utilize an evaluation system such as MBO/R, (Management by Objectives/Results)?

\_\_\_\_\_ yes

  X   no

Comments:

2. Do your staff members sustain a regularly-scheduled formal evaluation?

\_\_\_\_\_ yes

  X   no

Comments:

3. Has your staff ever been evaluated by an outside consulting firm?

\_\_\_\_\_ yes

  X   no

Comments:

4. Are you formally evaluated by your superior?

\_\_\_\_\_ yes

  X   no

Comments:

5. Do your staff members have the opportunity to evaluate you?

\_\_\_\_\_ yes

  X   no

Comments:

### EVALUATING

"Evaluation and accountability are key concepts today, though many practitioners are not certain or agreed as to the best tools available. More of the evaluative process is "hit or miss" than development directors would like to admit.

Our institution does not utilize MBO/R or other sophisticated management tools yet. Maybe the planning director will initiate some programs along this line. He has worked out other data-gathering and data-reporting techniques. And he does publish an annual report on the state of the institution.

Evaluative criteria are something which this office is attempting to develop. But it is interesting to review the ads in the CHRONICLE OF HIGHER EDUCATION. They are out of touch with the hiring practices with which I am familiar. The kinds of experience and education they require and the salary they are willing to come up with, don't coincide. As a result the field of educational fund raising is losing good people to hospital fund raising where salaries are more competitive and more in keeping with the kinds of experience necessary.

We have not used outside consulting to evaluate our staff. But we have used outside counsel for assistance in planning the last capital campaign.

The evaluation of the staff is done informally and I am responsible for making salary recommendations to the president for each staff member as I prepare the budget for the coming year.

My evaluation takes place at contract time officially, but the president and my staff have the opportunity to observe my work throughout the year and therefore, have the opportunity to evaluate me. It is as simple as this: increases in gift income usually result in increases in salaries in the development staff. In that sense evaluation is easy-- look at the bottom line and see how much the staff brought in.

For new additions to the staff, orientation includes the basic requirements of the position and the expectations held for it. New staff members are encouraged to present their expectations of the university and the staff, and of course, their superior."

#### QUESTIONNAIRE RESPONSES

##### DEVELOPING

1. Do you provide new staff members with an orientation program?

  X   yes

       no

Comments:

2. Do you provide expense-paid opportunities for staff members to attend professional conferences, meetings, etc.?

  X   yes

       no

Comments:

3. Do your staff members receive paid subscriptions/membership dues to professional organizations?

  X   yes

       no

Comments:

4. Has your institution recently been through an accreditation review?

  X   yes

       no

Comments:

5. Has your institution recently, (or ever), been engaged in a program of organizational development for administration and/or faculty?

  X   yes

       no

Comments:

6. Does the institution provide payment or reimbursement for educational expenses of staff members in your area?

  X   yes

       no

Comments:

#### DEVELOPING

"I am in charge of orientating new staff members. Though the head of one area will usually work with his/her assistant. For example, the alumni director will supervise the activities of the assistant alumni director and will therefore orientate this person to the activities of the area.

There are nine members of the staff, including myself. And two areas have an assistant, alumni and publications.

I attempt to meet regularly with each of the staff members to give support and the benefits of my experience. Both the personal and professional development of each staff member is crucial to the success of the entire program in fund raising and public relations.

Our staff members are given membership in CASE and have paid subscriptions to magazines and newsletters in their particular area. It is a necessary investment in their professionalism.

Each staff member is encouraged to attend conferences and most of the expense is picked up by the institution. This allocation of funds is something I was successful in getting placed in the annual budget for the area.

It is important for each staff member to realize that each of them work in the background. More is done in coordinating the efforts of others and therefore they, not the staff get the spotlight. Good development people realize early on in the game that theirs is a supportive role. They don't get the headlines.

Staff members are encouraged to further their education and are assured that the university will assist in the costs. Of course work done at the university is free to employees.

The last accreditation review was in 1978. It was modestly helpful. The review didn't tell us much we didn't know already."

INSTITUTION B

BACKGROUND INFORMATION  
ON INSTITUTION B

Institution B was founded in 1945 as a private, non-sectarian university in the heart of an urban center. It has a main campus with a single dormitory facility and four satellite campuses in the surrounding suburbs. Its location is the Midwest and its student body contains a wide ethnic and cultural diversity.

Institution B includes the following academic components: (1) the College of Arts and Sciences; (2) the College of Business Administration; (3) the College of Music; (4) the College of Continuing Education; (5) the College of Education; (6) the Graduate Division; and (7) the Institute for Labor Education.

Facts:

Total enrollment for academic 1978-79 is 7,500

Faculty number 370+

Operating budget of \$13,000,000

Average tuition of \$4,200

Room/board cost of \$2,000

Gift income for FY 1978-79 approximately \$2,000,000

Endowment of \$7,600,000

Board of Trustees comprised of 45 members, 44 elected  
and the president of the university serving as an ex  
officio member

Trustee membership includes faculty representatives  
with voting status

Growth pattern reveals that since 1946 the university



has produced 25,000+ alumni. Enrollment increases in recent years reflect the preference for many students for an urban institution due to job availability and lower housing costs.

Exerpt from institutional Case Statement:

"At a time when higher education was generally available only to an elite, Institution B announced its commitment to serve all who could benefit. At a time when admissions quotas and prejudice kept all but a few minority students out of higher education, Institution B admitted students on academic merit alone.

Years before student activism led to heightened social concern, Institution B offered programs in ethnic and minority studies. Before teachers' unions and student movements were established to counteract autocratic administrations and governing boards, Institution B developed new forms of democratic governance involving faculty, students, alumni and trustees. Student representatives vote on the University Senate and faculty representatives serve on the Board of Trustees.

Institution B has no accumulated deficit and operates on a balanced budget. There are several reasons for this stability. The University is able to operate efficiently by virtue of its compact physical plant, by keeping overhead costs to a minimum, and by avoiding esoteric programs unrelated to the University's mission. Most of the University's budget-- approximately 85 per cent-- comes from student tuition. Although inflation has required continual increases over the years, tuition has been held as low as possible

and is currently as much as one-third less than at some of the other private universities in the metropolitan area. Tuition assistance is available for students with limited funds. Nearly \$5 million is granted annually to one-third of the students from scholarship funds provided by the University, the State, the Federal Government, foundations, corporations, and private donors."

#### BACKGROUND INFORMATION ON THE DEVELOPMENT OFFICER AND STAFF

The chief development officer at Institution B holds the title of Vice President for Development. The incumbent has served at Institution B for eleven years as the chief development officer. The vice president has 25 years of fund raising experience coming to Institution B after working for Goodwill Industries, the Community Chest, and the United Way. The vice president holds an MS degree and directs a staff of five.

#### QUESTIONNAIRE RESPONSES

##### PLANNING

1. Does your institution utilize an institution-wide system of long range planning?

  X   yes

       no

Comments:

2. Do your responsibilities include participation in the long range planning process?

  X   yes

       no

Comments:

3. Are you ultimately responsible for the planning in your area?

  X   yes

       no

Comments:

4. Are you responsible for budget preparation in your area?

  X   yes

       no

Comments:

5. Does your institution's information system provide monthly expenditure reports?

  X   yes

       no

Comments:

6. Do you function with line authority?

  X   yes

       no

Comments:

7. Do you report regularly to a committee of the board of trustees?

  X   yes

       no

Comments:

8. Do your subordinates participate in the planning process in your area?

  X   yes

       no

Comments:

9. Have you modified the goals in your area to meet the current trends in giving programs in higher education?

  X   yes

       no

Comments:

10. Are you responsible for the "market research" of potential donors?

  X   yes

       no

Comments:

11. Does your institution employ a director of institutional research for long range planning?

       yes

  X   no

Comments:

12. Does the board of trustees participate in the planning of goals and objectives in your area?

  X   yes

       no

Comments:

## PLANNING

"The university does engage in long range planning. The President's Planning Council consists of the president, the four vice presidents, (finance, development, academics, and student affairs), and the dean of admissions.

Only recently has the chief development officer been a member of this council since there was no vice presidential rank for the development officer. It seemed odd that the dean of admissions would

serve on this council but not the chief development officer. I am responsible for both the promotion in rank and for the presence on the council.

The council is charged with generating a five-year plan for the institution. A major goal of this council is maintaining good communications with both faculty and students.

The entire institution is engaged in a program whereby a system of MBO is utilized. Each vice president is responsible for developing a set of goals and objectives related to the total university plan and in keeping with the procedure associated with MBO.

The development area is guided by an application of the MBO system. I am in charge of determining the goals and objectives for the area. This determination includes input from each of the staff members and the total plan should include well thought out goals for each staff area, such as alumni, publications, corporations, etc.

Planning for the development area includes a determination of the following: (1) the dollar goal to be reached during the fiscal year; (2) the number of solicitations required; (3) the proper person to make the solicitation; (4) the publication schedule and data such as frequency and content; (5) pending government legislation which affects the fund raising area and the university's position relative to it; (6) alumni programming; and (7) the special events to be held in connection with fund raising efforts.

Each staff member must develop a plan for his/her area of responsibility; this plan becomes part of the overall development plan which, with the help of MBO, becomes part of the master plan

of the university.

More has to be done in the area of researching potential donors. More planning has to be done to gather pertinent data on individuals, corporations, and foundations.

Each vice president has to plan his own area as the institution does not employ an institution-wide planning officer.

My staff works closely with the development committee of the Board of Trustees to draft a plan and budget for the fund raising arm of the university. More has to be done to encourage the individual members of the development committee to be conscious of the planning function."

#### QUESTIONNAIRE RESPONSES

##### ORGANIZING

1. Is each of your subordinates responsible for a specific portion of the fund raising program?

  X   yes

       no

Comments:

2. Do you make additions to your staff in response to specialization in fund raising responsibilities?

  X   yes

       no

Comments:

3. Is the present organizational structure of your institution consistent with the mission and goals of the institution?

  X   yes

       no

Comments:

4. Does the organizational structure provide distance systems for policy development and policy implementation, i.e., for governance and administration?

  X   yes

       no

Comments:

5. Do you provide clear lines of accountability and provide sufficient authority for your staff members to carry out their assigned tasks?

  X   yes

       no

Comments:

6. Does the committee structure of the board of trustees provide for a development committee?

  X   yes

       no

Comments:

7. Are you an ex officio member of the development committee?

  X   yes

       no

Comments:

8. Are you responsible for coordinating the fund raising activities of the president and trustees in the solicitation of major gifts?

  X   yes

       no

Comments:

9. Has board membership been expanded recently both in numbers and in professional background of individual trustees?

  X   yes

       no

Comments:

10. Is the board of trustees self-perpetuating or are members elected by various institutional constituencies?

  X   yes

       no

Comments:

11. Does board membership include student representation?

       yes

  X   no

Comments:

12. Are trustee meetings open to the public?

       yes

  X   no

Comments:

13. Does the institution provide orientation for new board members?

  X   yes

       no

Comments:

14. Does the institution provide in-service programs for incumbent trustees?

  X   yes

       no

Comments:



15. Are you responsible for generating position descriptions for your staff members?

  X   yes

       no

Comments:

### ORGANIZING

"Each member of the staff has his/her own area of expertise. The development staff includes individuals competent in fund raising, public relations, publications, and media relations.

Staff additions/promotions are made on the basis of competence in the above basic areas.

Not only does the Board of Trustees contain a development committee, but it now includes a subcommittee for corporate giving. The university is convinced that the corporate community in this urban area can do more for the educational establishment. Trustee selection has been influenced by an individual's contacts within the business/corporate community in the area.

More work has to be done in organizing the efforts of the president and trustees in the solicitation of gift income. It is my responsibility to research the prospect and then to determine the appropriate individual to make the solicitation.

The staff now includes an individual whose sole responsibility is corporations and foundations. This addition was made in response to the growing awareness that corporations and foundations are keys to vast sums of philanthropic support. And the institutional case statement has been written with this in mind.

Working with the nominations committee, I am responsible for orientating new trustees. The president is also involved, but I'm in charge of this vital function. If the trustees are to lend their expertise and their financial support, (in giving and in getting others to give), they must be aware of what is going on at the university and their place in the fund raising program.

Interestingly enough, this board contains faculty representation with voting privileges. This is an exception in most universities. Students are allowed to attend committee meetings, but the general board sessions are closed to the public.

I attend the general sessions but do not have a vote. I make the report of the development committee to the full board; this report includes income projections and income received to date at the time of each board meeting.

Regarding orientation of new trustees, it is interesting how much effort goes into the process. After being elected to the board, the new trustee meets with the president, meets with each of the vice presidents, and then is assigned to a specific board committee depending upon the trustee's interest and the needs of the institution. The committee structure includes plant/finance, development, academics, student affairs, nominations, and executive.

More members of the business community are contacted for potential board membership. And there is an effort to reach out for women and other minorities for board membership."

## QUESTIONNAIRE RESPONSES

## STAFFING

1. Is educational background a criterion you utilize in staff selection?

  X   yes

       no

Comments:

2. Do you prefer to promote from within for staff positions of increased responsibility?

  X   yes

       no

Comments:

3. Does your staff include student workers who perform clerical and/or research duties?

  X   yes

       no

Comments:

4. Is alumni status a prerequisite for the position of alumni director at your institution?

       yes

  X   no

Comments:

5. Does your present position represent a promotion from within?

       yes

  X   no

Comments:

6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

\_\_\_\_\_ yes

  X   no

Comments:

7. Do you have sole responsibility for hiring staff members?

  X   yes

\_\_\_\_\_ no

Comments:

8. Does your staff have the opportunity to interview job candidates?

  X   yes

\_\_\_\_\_ no

Comments:

9. Do you hire entry-level staff members?

  X   yes

\_\_\_\_\_ no

Comments:

10. Have you made additions to your staff in the following areas:

a. special gifts	_____	yes	<u>  X  </u>	no
b. deferred giving	_____	yes	<u>  X  </u>	no
c. government relations	_____	yes	<u>  X  </u>	no
d. corporate/foundation gifts	_____	<u>  X  </u>	yes	_____ no

### STAFFING

"Additions to the staff are usually made for specific areas of responsibility. The BA is a minimum, and the MA a plus, though many institutions don't get individuals with advanced degrees to take entry-level positions.

The most difficult area in which to find someone with expertise is deferred giving/estate planning. Many times the development office will enlist the aid of alumni who are attorneys to help in this key area.

I do have the authority to hire, but only after getting approval for either a salary determination or a new position from the budget committee. This committee is comprised of: (1) the president; (2) three administrators appointed by the president; and (3) three faculty members elected by the faculty body.

The development staff is involved in the interview process as the screening of candidates is done. Many times positions are filled by present staff members who have demonstrated an increased competency and willingness to assume responsibility.

This office has not utilized the services of professional recruiters as long as I have been at the institution. Outside counsel has been utilized for capital expertise, but not staffing.

The person who is now in charge of corporate/foundation giving came from the alumni relations area. This person pursued an advanced degree and would stay at the university only if increased responsibility/salary was available.

I am in charge of generating job descriptions. It is difficult to know exactly where to reach potential candidates. The CHRONICLE OF HIGHER EDUCATION is the main recruitment tool, and internal announcements are made for position openings. Though the institution has not had a great deal of success in hiring recent grads for development positions.

Pressure is coming from many sources to hire more women in positions of responsibility in fund raising. But it is difficult to find women with experience in fund raising."

### QUESTIONNAIRE RESPONSES

#### LEADING

1. Was your educational background a criterion utilized in your selection for your present position?

  X   yes

       no

Comments:

2. Do you hold regularly-scheduled staff meetings?

  X   yes

       no

Comments:

3. Are all your subordinates functioning in a peer relationship?

  X   yes

       no

Comments:

4. Does your area provide both formal and informal channels of communication?

  X   yes

       no

Comments:

5. Do you provide staff members with increased responsibility through job enrichment?

  X   yes

       no

Comments:

## LEADING

"I have 25 years in fund raising, and was hired by Institution B as the chief development officer, at the level of director of giving programs. I am an experienced practitioner in fund raising in service enterprises.

The combination of successes with Goodwill Industries, the United Way, and the Community Chest resulted in my appointment as vice president at Institution B. I had a reputation for being able to develop new sources of philanthropic support. I have a MS in science.

Leadership is provided by holding regularly-scheduled staff meetings and encouraging staff members to alternate preparing the agenda.

It is my opinion that each staff member be able to develop a knowledge and expertise in annual and capital fund programs. This will help each staff member to understand the efforts of all members of the staff.

Staff members are encouraged to assume more responsibility and their efforts are rewarded by increased salary and/or recognition. Staff members are also encouraged to continue their education.

It seems sensible that members of a staff functioning at an institution of higher learning should pursue advanced degrees. I place emphasis upon this pursuit.

I place high priority on spending time with each staff member for both professional and personal support."

## QUESTIONNAIRE RESPONSES

## EVALUATING

1. Does your institution utilize evaluation system such as MBO/R, (Management by Objectives/Results)?

  X   yes

       no

Comments:

2. Do your staff members sustain a regularly-scheduled formal evaluation?

  X   yes

       no

Comments:

3. Has your staff ever been evaluated by an outside consulting firm?

       yes

  X   no

Comments:

4. Are you formally evaluated by your superior?

  X   yes

       no

Comments:

5. Do your staff members have the opportunity to evaluate you?

       yes

  X   no

Comments:



## EVALUATING

"The university does utilize an institution-wide application of MBO and each department, area, or division participates in the MBO process.

Each administrator must adopt an MBO evaluation system for his/her area. The responsibility for developing goals and objectives for the fund raising area is assumed by the vice president, with each staff member developing goals and objectives for his area of concern within the total program.

Through the regularly-scheduled staff meetings, each staff member has the opportunity to disclose to the others and to me the goals and objectives which have been decided upon. This is the basis for my evaluation of each staff member.

I hold individual conferences with each staff member throughout the course of the year to monitor progress, to give support, and to make the necessary modifications to the staff members plan for the fiscal year.

A practical method of evaluation is to begin with the number of dollars and calls for which a staff member is responsible. Monthly progress reports are made as to the dollar and call totals for the month. Actually, you can consider the system as having twelve evaluation periods. Of course some months are better than others for personal solicitation. Income tax preparation time is particularly productive in terms of generating gift income.

The overall goal for dollar and solicitation calls is made at the development committee meetings of the board. The board and the

president has a basis upon which to evaluate the work of the development staff, from the vice president on down.

There is no formal evaluation procedure for staff members. Success or failure is determined by the degree of congruence between goals and objectives and the return in gift income. In the field of development, the bottom line is always, and quite simply, how much did the fund raisers bring in to help balance the budget and build the buildings."

### QUESTIONNAIRE RESPONSES

#### DEVELOPING

1. Do you provide new staff members with an orientation program?

  X   yes

       no

Comments:

2. Do you provide expense-paid opportunities for staff members to attend professional conferences, meetings, etc.?

  X   yes

       no

Comments:

3. Do your staff members receive paid subscriptions/membership dues to professional organizations?

  X   yes

       no

Comments:

4. Has your institution recently been through an accreditation review?

  X   yes

       no

Comments:

5. Has your institution recently, (or ever), been engaged in a program of organizational development for administration and/or faculty?

  X   yes

       no

Comments:

6. Does the institution provide payment or reimbursement for educational expenses of staff members in your area?

  X   yes

       no

Comments:

#### DEVELOPING

"The responsibility for orientating new staff members is jointly held by myself and the other staff members, especially the new member's superior, (if not the vice president).

The university's fund raising staff has increased due to a growth in competence of several key members. A new position in the area of annual fund income is a result of the initiative of a veteran staff member. Also, the addition in corporate giving resulted from the expansion of responsibilities of a veteran staff member.

The university encourages the staff members to grow professionally by making funds available for memberships in such organizations as CASE and the National Association of Fund Raisers. Sub-

scriptions to publications sponsored by professional organizations and foundations are paid for by the university.

Staff members receive time off to attend conferences, conventions, and other professional meetings which will help the staff member grow professionally. The institution realizes that the growth and development of the staff will result in the generation of additional gift income and is therefore a good investment.

The university is due for the regular ten-year accreditation review. This has provided the development office the opportunity to review its long range plans for new programs and to evaluate its progress to date. The scheduled review is for 1980.

In terms of institution-wide organizational development, this university has not brought in outside counsel, but the development office did retain professional counsel to assist with the capital campaign in 1970. The campaign was a success as the goal was \$7.5 million and the amount raised was close to \$10 million. At present the university is engaged in another \$10 million campaign and counsel is again being utilized.

Of prime concern to me is that each staff member give consideration to and take action toward the pursuit of an advanced degree. This is consistent with the functioning at an institution of higher learning. The university pays tuition costs for work done at the institution and the development office offers some assistance for work done outside by seeking funding from corporations and foundations."

INSTITUTION C

BACKGROUND INFORMATION  
ON INSTITUTION C

Institution C was founded in 1890 as a private, denominational women's college. It is located in a small metropolitan community in the upper Midwest. In 1970 Institution C became a co-educational institution and now has full residence facilities for both men and women, 82% of whom board on campus.

Institution C offers a full liberal arts program, a pre-professional program, and a new interdisciplinary studies program in more than 20 major fields of study.

Facts:

Total enrollment for academic 1978-79 is 1,100

Faculty number 100+

Operation budget of \$9,000,000

Average tuition of \$2,800

Room/board cost of \$1,800

Gift income for FY 1978-79 approximately \$1 million which includes \$493,000 in contribute services from the religious faculty.

Endowment of \$600,000

The board membership is broken down into a ratio of one-third religious and two-thirds lay men.

Growth pattern reveals an increase in the number of students from 491 to 1,112 since 1970, the initial year of co-education. The institution has produced 7,800 alumni.

Institutional growth has been traced to the movement

away from exclusive dependence upon a nursing program to a full liberal arts program and to the location in a scenic portion of the upper Midwest.

Exerpt from institutional Case Statement:

"Through a program of careful long range planning, Institution C is working to provide a more comprehensive service to its community. The following objectives are to be pursued-- (1) to establish Institution C firmly and accurately in the public mind as a small, Christian independent liberal arts college of unique value to the community; (2) to continue a program of student recruitment toward the goal of 1,200 students by 1980, with special emphasis upon coed enrollment and programs with major growth potential; and (3) to assure fiscal stability through increasing annual giving, scheduled debt retirement, a vigorous pursuit of immediate and deferred capital giving, and a \$1 million endowment by 1980."

#### BACKGROUND INFORMATION ON THE DEVELOPMENT OFFICER AND STAFF

The chief development officer at Institution C holds the title of Director of Development. The incumbent has served at Institution C for five years as director. The director has 10 years of fund raising experience, holds a MA degree and directs a staff of four.

#### QUESTIONNAIRE RESPONSES

##### PLANNING

1. Does your institution utilize an institution-wide system of long range planning?

  X   yes  
\_\_\_\_\_ no

Comments:

2. Do your responsibilities include participation in the long range planning process?

  X   yes

       no

Comments:

3. Are you ultimately responsible for the planning in your area?

  X   yes

       no

Comments:

4. Are you responsible for budget preparation in your area?

  X   yes

       no

Comments:

5. Does your institution's information system provide monthly expenditure reports?

  X   yes

       no

Comments:

6. Do you function with line authority?

  X   yes

       no

Comments:

7. Do you report regularly to a committee of the board of trustees?

  X   yes

       no

Comments:



8. Do your subordinates participate in the planning process in your area?

  X   yes

       no

Comments:

9. Have you modified the goals in your area to meet the current trends in giving programs in higher education?

  X   yes

       no

Comments:

10. Are you responsible for the "market research" of potential donors?

  X   yes

       no

Comments:

11. Does your institution employ a director of institutional research for long range planning?

  X   yes

       no

Comments:

12. Does the board of trustees participate in the planning of goals and objectives in your area?

  X   yes

       no

Comments:

#### PLANNING

"The institution is moving to implement a more refined method of long range planning. A recent expansion in the number and quality of trustees has mandated long range planning as a part of financial viability.

I work closely with the president and board of trustees in the area of long range planning. The president has initiated a long range planning committee which is comprised of the vice president for academics, director of finance, director of development, director of student life, and the director of institutional planning. Beginning next year both the faculty and student body will elect members for the long range planning committee.

I am responsible for the overall goals and objectives in fund raising and public relations. Each staff member, along with myself, work with the development committee of the board to generate plans for the coming fiscal year in terms of dollar goals and types of support to seek.

I am a member of the development committee and make a report at each of the four annual trustee meetings, and I supervise the research of prospective donors, with the help of the president and trustees.

An additional planning tool at the institution was the purchase of data processing equipment which allows the administrators to monitor income and expenses on a monthly basis. This purchase came at the insistence of the director of institutional planning.

Each development staff member works out his/her goals and objectives for the coming year. This planning would include grants to be secured, publications to be generated, solicitation calls to be made.

Each year, as new trustees are added and retiring trustees replaced, a greater emphasis is placed upon their involvement of the

planning of fund raising goals. Their active involvement is crucial to the success of the fund raising program.

The development committee has become active in generating lists of potential benefactors and has become increasingly willing to make solicitation calls, especially as the institution moves into the capital campaign with a goal of \$8.2 million."

### QUESTIONNAIRE RESPONSES

#### ORGANIZING

1. Is each of your subordinates responsible for a specific portion of the fund raising program?

  X   yes

       no

Comments:

2. Do you make additions to your staff in response to specialization in fund raising responsibilities?

       yes

  X   no

Comments:

3. Is the present organizational structure of your institution consistent with the mission and goals of the institution?

  X   yes

       no

Comments:

4. Does the organizational structure provide distinct systems for policy development and policy implementation, i.e., for governance and administration?

  X   yes

       no

Comments:

5. Do you provide clear lines of accountability and provide sufficient authority for your staff members to carry out their assigned tasks?

  X   yes

       no

Comments:

6. Does the committee structure of the board of trustees provide for a development committee?

  X   yes

       no

Comments:

7. Are you an ex officio member of the development committee?

  X   yes

       no

Comments:

8. Are you responsible for coordinating the fund raising activities of the president and trustees in the solicitation of major gifts?

  X   yes

       no

Comments:

9. Has board membership been expanded recently both in numbers and in professional background of individual trustees?

  X   yes

       no

Comments:

10. Is the board of trustees self-perpetuating or are members elected by various institutional constituencies?

  X   yes

       no

Comments:

11. Does board membership include student representation?

       yes

  X   no

Comments:

12. Are trustee meetings open to the public?

       yes

  X   no

Comments:

13. Does the institution provide orientation for new board members?

  X   yes

       no

Comments:

14. Does the institution provide in-service programs for incumbent trustees?

  X   yes

       no

Comments:

15. Are you responsible for generating position descriptions for your staff members?

  X   yes

       no

Comments:

### ORGANIZING

"The activities of the development area are organized around specific functions or goals to be achieved. Each staff member has definite responsibilities to see that success is realized in his/her area.

Each staff member is given the autonomy necessary to carry out his/her responsibilities for a specific part of the program. It is my responsibility to orchestrate the efforts of the staff so that the entire staff works as a team.

I have the responsibility to coordinate the fund raising activities of the president and the board of trustees. As the goals and objectives of the fund raising program are developed for each fiscal year, I determine which person will make which solicitation.

A key factor in the success of any fund raising program is a correct placement of the appropriate institutional representative at the door of the donor. As trustees become aware of their fund raising responsibilities, they become more available to make soliciatation calls.

I not only work with the development committee of the board, but have input to the nominations committee. It is the responsibility of this committee to research prospective board members. Often I

suggest names of potential trustees on the basis of their ability to assist the institution in the pursuit of its fund raising goals.

A modest attempt has been made to bring greater professional diversity to the board, especially in the areas of business and corporate membership. Contacts to the worlds of business and corporations will be crucial to the financial viability of this institution.

Faculty and students are invited to attend the committee sessions but are not permitted at the general sessions. A movement is under way to get more of the students and faculty aware of the work of the board.

I am responsible for coordinating the orientation efforts for new trustees, as well as keeping the incumbent trustees up to date on the institution. The new trustees will meet with the president and with myself frequently before and after a committee assignment is made.

I serve in the capacity of coordinating the president's efforts in fund raising and public relations. It is important that the president meet the 'right people' and make a 'sale' for the institution. I have to know who the potential benefactors are and make sure that the president makes contact with them resulting in a gift to the institution.

The same is true for trustees. Often the trustees are reluctant to make solicitation calls. But I, with the help of the president, must get the trustees to shoulder their collective and individual responsibilities to generate gift income."

## QUESTIONNAIRE RESPONSES

## STAFFING

1. Is educational background a criterion you utilize in staff selection?

  X   yes

       no

Comments:

2. Do you prefer to promote from within for staff positions of increased responsibility?

  X   yes

       no

Comments:

3. Does your staff include student workers who perform clerical and/or research duties?

  X   yes

       no

Comments:

4. Is alumni status a prerequisite for the position of alumni director at your institution?

       yes

  X   no

Comments:

5. Does your present position represent a promotion from within?

       yes

  X   no

Comments:



6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

\_\_\_\_\_ yes

  X   no

Comments:

7. Do you have sole responsibility for hiring staff members?

  X   yes

\_\_\_\_\_ no

Comments:

8. Does your staff have the opportunity to interview job candidates?

  X   yes

\_\_\_\_\_ no

Comments:

9. Do you hire entry-level staff members?

  X   yes

\_\_\_\_\_ no

Comments:

10. Have you made additions to your staff in the following areas:

- |                               |              |     |              |    |
|-------------------------------|--------------|-----|--------------|----|
| a. special gifts              | _____        | yes | <u>  X  </u> | no |
| b. deferred giving            | _____        | yes | <u>  X  </u> | no |
| c. government relations       | <u>  X  </u> | yes | _____        | no |
| d. corporate/foundation gifts | _____        | yes | <u>  X  </u> | no |

### STAFFING

"The bachelor's degree is a must. But a consideration is made for experience, also. Entry-level are hired but are expected to grow professionally.

Staff positions are filled from within if the person has gained

6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

\_\_\_\_\_ yes

  X   no

Comments:

7. Do you have sole responsibility for hiring staff members?

  X   yes

\_\_\_\_\_ no

Comments:

8. Does your staff have the opportunity to interview job candidates?

  X   yes

\_\_\_\_\_ no

Comments:

9. Do you hire entry-level staff members?

  X   yes

\_\_\_\_\_ no

Comments:

10. Have you made additions to your staff in the following areas:

a. special gifts	_____	yes	<u>  X  </u>	no
b. deferred giving	_____	yes	<u>  X  </u>	no
c. government relations	<u>  X  </u>	yes	_____	no
d. corporate/foundation gifts	_____	yes	<u>  X  </u>	no

### STAFFING

"The bachelor's degree is a must. But a consideration is made for experience, also. Entry-level are hired but are expected to grow professionally.

Staff positions are filled from within if the person has gained

having a new staff member brought to them by fiat.

Additions to the staff are made after consultation with the president and the board in terms of responsibilities and salary requirements. The amount of gift income expected must be sufficient to cover the costs of the addition."

### QUESTIONNAIRE RESPONSES

#### LEADING

1. Was your educational background a criterion utilized in your selection for your present position?

\_\_\_\_\_ yes

  X   no

Comments:

2. Do you hold regularly-scheduled staff meetings?

  X   yes

\_\_\_\_\_ no

Comments:

3. Are all your subordinates functioning in a peer relationship?

\_\_\_\_\_ yes

  X   no

Comments:

4. Does your area provide both formal and informal channels of communication?

  X   yes

\_\_\_\_\_ no

Comments:

5. Do you provide staff members with increased responsibility through job enrichment?

  X   yes

       no

Comments:

#### LEADING

"The educational background was not crucial to my appointment, but the possession of an MA in communications did help.

Fund raising experience was more important than the degree. The ten years in development were considered important by the president and the board of trustees. I had been a director at another private institution and had a fair amount of experience in annual giving.

The development staff meets weekly depending upon the travel schedule of the members. It is important that each member of the staff know what progress, (or lack of it), has been made by his/her peers. Each member is expected to make a report on the goals achieved or the activities planned.

Below the level of director, all staff members function on a peer level. The staff is small and informal communication comes easy and is encouraged.

Formally, each staff member meets privately with me to discuss goals or problems. The atmosphere here is friendly and conducive to positive relationships.

Within each area, the staff member is encouraged to expand his/her expertise to achieve greater effectiveness. Salary

determination is made part of this encouragement."

### QUESTIONNAIRE RESPONSES

#### EVALUATING

1. Does your institution utilize an evaluation system such as MBO/R, (Management by Objectives/Results)?

  X   yes

       no

Comments:

2. Do your staff members sustain a regularly-scheduled formal evaluation?

  X   yes

       no

Comments:

3. Has your staff ever been evaluated by an outside consulting firm?

  X   yes

       no

Comments:

4. Are you formally evaluated by your superior?

  X   yes

       no

Comments:

5. Do your staff members have the opportunity to evaluate you?

  X   yes

       no

Comments:

## EVALUATION

"Evaluation is based, in part, on the utilization of the MBO system. Each administrator is required to develop a set of goals and objectives for submission to the director of institutional planning. Then a formal planning report is submitted to the president and to the board of trustees.

Each administrator is then judged upon how he/she succeeded in achieving the agree-upon goals and objectives. In terms of the development area, each staff member has input into the goals of the development area. Staff sessions are devoted to the establishment of realistic goals and objectives for the coming year, and also for adjustments in the ongoing plan.

Each staff member lays out what activities his/her office will conduct. Publication schedules and solicitation calls are planned and they serve as a basis for determining success. At the time of each trustee meeting the schedules and calls are reviewed to determine the adherence to the overall plan for the fiscal year.

Several years ago the trustees decided to bring in an outside consulting/evaluating team. The results of this visitation have been negligible. I have the responsibility of evaluating each staff member and this is done informally through meetings between myself and the staff member.

But it is obvious whether or not the staff, and myself, are performing successfully. The dollars tell the story. At contract negotiation time the numbers will determine salary increments and additions to the budget. The trustees look closely at the figures

as the financial viability of the institution depends upon the generation of gift income to balance the budget and retire the debt.

The staff members have the opportunity to evaluate the work of the director each day, though there is not formal evaluation process for them. The president holds several private meetings with the director and that you can consider a formal evaluation. But the president is always aware if I am doing the job. He also gets the monthly income report from the director of institutional planning, via the computer."

### QUESTIONNAIRE RESPONSES

#### DEVELOPING

1. Do you provide new staff members with an orientation program?

  X   yes

       no

Comments:

2. Do you provide expense-paid opportunities for staff members to attend professional conferences, meetings, etc.?

  X   yes

       no

3. Do your staff members receive paid subscriptions/membership dues to professional organizations?

  X   yes

       no

Comments:

4. Has your institution recently been through an accreditation review?

  X   yes

       no

Comments:

5. Has your institution recently, (or ever), been engaged in a program of organizational development for administration and/or faculty?

       yes

  X   no

Comments:

6. Does the institution provide payment or reimbursement for educational expenses of staff members in your area?

  X   yes

       no

Comments:

#### DEVELOPING

"As the staff is small, it is my responsibility to orientate new members, to show them around, and to familiarize them with the development program at Institution C.

The salary level is not what it would be at a larger institution, but Institution C has attracted good people in development. There is every effort to make up in a variety of ways what would be salary in other places. Besides, some people prefer working at a smaller institution in a scenic place like this.

Dues and subscriptions are paid in part by this office to professional organizations and publications. There is not enough money to pay the entire cost. Expenses are shared with the staff



members for trips to professional conferences and meetings.

This institution just completed its accreditation review, and it was a big waste of time. We spent an entire year preparing the report and the visitation team told us nothing. We could have spent our time more productively.

Outside counsel has been utilized for capital campaign assistance. The board of trustees decided that to insure success, an outside firm had to be retained. I did not agree with the trustees.

I meet regularly with each staff member to give support both professionally and personally. It is important that each member of the staff be satisfied with his activities and should be growing in his/her expertise. Though the pursuit of an advanced degree is not a must, it is encouraged as an aid to professional and personal development. The institution helps pay the costs of such education."

INSTITUTION D

BACKGROUND INFORMATION  
ON INSTITUTION D

Institution D was founded in 1863 as a private, denominational college for men located in a major urban center on the East Coast. Institution D has limited dormitory facilities on its single campus as only 15% of the student body live on campus.

Institution D includes the following academic components:

(1) the College of Arts and Sciences; (2) the College of Engineering; (3) the College of Business; (4) the Evening College for Teacher Preparation; and (5) the Graduate School, offering the MA in Arts and Engineering.

Facts:

Total enrollment for academic 1978-79 is 5,200

Faculty number 320+

Operating budget of \$19,000,000

Average tuition of \$2,000

Room/board cost of \$2,200

Gift income for FY 1978-79 of approximately \$3,800,000

Endowment of \$2,500,000

Board of Trustees comprised of 18 members, 17 elected and the president serving ex officio.

Growth pattern reveals a steady increase in the undergraduate enrollment and a modest decline in the graduate enrollment, especially in programs of teacher preparation. The institution has produced 13,000 alumni.

Exerpt from institutional Case Statement:

"Institution D will maintain academic excellence and pursue financial growth to provide the members of the learning community with the resources necessary in the pursuit of truth."

BACKGROUND INFORMATION  
ON THE DEVELOPMENT  
OFFICER AND STAFF

The chief development officer at Institution D holds the title of vice president, College Realtions and Development. The incumbent has served at Institution D for six years as vice president. The vice president has eleven years of fund raising and public relations experience, holds an Ed.D degree and directs a staff of nine.

QUESTIONNAIRE RESPONSES

PLANNING

1. Does your institution utilize an institution-wide system of long range planning?

\_\_\_\_\_ yes  
  X   no

Comments:

2. Do your responsibilities include participation in the long range planning process?

  X   yes  
\_\_\_\_\_ no

Comments:

3. Are you ultimately responsible for the planning in your area?

  X   yes  
\_\_\_\_\_ no

Comments:

4. Are you responsible for budget preparation in your area?

  X   yes

       no

Comments:

5. Does your institution's information system provide monthly expenditure reports?

  X   yes

       no

Comments:

6. Do you function with line authority?

  X   yes

       no

Comments:

7. Do you report regularly to a committee of the board of trustees?

       yes

  X   no

Comments:

8. Do your subordinates participate in the planning process in your area?

  X   yes

       no

Comments:

9. Have you modified the goals in your area to meet the current trends in giving programs in higher education?

  X   yes

       no

Comments:

10. Are you responsible for the "market research" of potential donors?

  X   yes

       no

Comments:

11. Does your institution employ a director of institutional research for long range planning?

  X   yes

       no

Comments:

12. Does the board of trustees participate in the planning of goals and objectives in your area?

  X   yes

       no

Comments:

### PLANNING

"Although the institution does not utilize an institution-wide system of long range planning, there is coordination through the efforts of the director of institutional research. He gathers information necessary for planning, forecasting, and budgeting. Each major administrator has access to the data compiled by the office of institutional research.

I am involved only peripherally in the long range planning process of the institution. The development office prepares a budget, under my direction and prepares a fund raising goal for the coming fiscal year. These documents are submitted to the president's cabinet, which consists of the following: (1) the Vice President for Financial Affairs; (2) the Controller; (3) the Vice President for Academic

Affairs; and (4) the Director of Institutional Research. I am excluded from membership.

Financial reporting has been greatly upgraded by the purchase of EDP equipment which generates monthly expenditure reports and reports on admissions and gift income.

I do not report directly to the development committee of the board. All information germane to fund raising is presented to the board through the president. The development committee, with the president, formulate the final development plan for the institution. I have input, but the final word comes from the board.

Researching prospective donors is my responsibility with my staff. Assistance is provided by board members and alumni leaders. Some inroads have been made in the areas of corporate/foundation giving and in estate planning and deferred giving. There should be someone in governmental relations but the board has not yet approved the position.

There are several members of the development committee of the board who are pushing for more inclusion of the development office, particularly the vice president, in planning. Recommendations include participation/membership on the president's cabinet and an ex officio seat on the development committee, but without a voting privilege."

## QUESTIONNAIRE RESPONSES

## ORGANIZING

1. Is each of your subordinates responsible for a specific portion of the fund raising program?

  X   yes

       no

Comments:

2. Do you make additions to your staff in response to specialization in fund raising responsibilities?

  X   yes

       no

Comments:

3. Is the present organizational structure of your institution consistent with the mission and goals of the institution?

  X   yes

       no

Comments:

4. Does the organizational structure provide distinct systems for policy development and policy implementation, i.e., for governance and administration?

  X   yes

       no

Comments:

5. Do you provide clear lines of accountability and provide sufficient authority for your staff members to carry out their assigned tasks?

  X   yes

       no

Comments:



6. Does the committee structure of the board of trustees provide for a development committee?

  X   yes

       no

Comments:

7. Are you an ex officio member of the development committee?

       yes

  X   no

Comments:

8. Are you responsible for coordinating the fund raising activities of the president and trustees in the solicitation of major gifts?

       yes

  X   no

Comments:

9. Has board membership been expanded recently both in numbers and in professional background of individual trustees?

  X   yes

       no

Comments:

10. Is the board of trustees self-perpetuating or are members elected by various institutional constituencies?

  X   yes

       no

Comments:

11. Does board membership include student representation?

  X   yes

       no

Comments:

12. Are trustee meetings open to the public?

\_\_\_\_\_ yes

  X   no

Comments:

13. Does the institution provide orientation for new board members?

\_\_\_\_\_ yes

  X   no

Comments:

14. Does the institution provide in-service programs for incumbent trustees?

\_\_\_\_\_ yes

  X   no

Comments:

15. Are you responsible for generating position descriptions for your staff members?

  X   yes

\_\_\_\_\_ no

Comments:

### ORGANIZING

"The basic areas of the development office include: (1) fund raising; (2) special events; (3) alumni relations; (4) public relations; and (5) publications. Each area is staffed by a professional(s) and each staff member is responsible for his/her area.

My work is to coordinate the efforts of the staff, in terms of budget preparation and goal setting. A modified system of MBO is utilized whereby we determine the goals and objectives of the office.

Each staff member develops goals and objectives for his particular area, for example, a publication schedule or number of special events to be held. Also, the fund raising people, those in annual gifts or corporate/foundation support, will determine the number of calls that have to be made or the number of proposals to be written.

For major gifts, such as those associated with the capital campaign, I do not organize the efforts of the president and the board members. This organization is done by the development committee itself. The chairman of the board and the development committee determine who will visit whom and ask for what. I am not involved in this process other than in a consultative capacity. Outside counsel has been retained to work on the major gifts for the capital campaign and they handle some of the organizing work.

The board has been expanded only modestly in the last several years. Some attempt has been made to get greater representation from the business and corporate communities, this of course to aid the capital campaign.

More work should be done with board members, in terms of orientating them to the work to be done at the institution. I have been pushing for the responsibility to work more with the trustees but the tradition at Institution D is for the president to work with the trustees.

One of the goals of the development office is to get more involved with the efforts of the board in fund raising. And to get at least the committee meetings of the board open to the public. There should be greater access to students and faculty for those

committees which deal with academic and student matters."

## QUESTIONNAIRE RESPONSES

### STAFFING

1. Is educational background a criterion you utilize in staff selection?

  X   yes

       no

Comments:

2. Do you prefer to promote from within for staff positions of increased responsibility?

  X   yes

       no

Comments:

3. Does your staff include student workers who perform clerical and/or research duties?

  X   yes

       no

Comments:

4. Is alumni status a prerequisite for the position of alumni director at your institution?

       yes

  X   no

Comments:

5. Does your present position represent a promotion from within?

  X   yes

       no

Comments:

6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

\_\_\_\_\_ yes

  X   no

Comments:

7. Do you have sole responsibility for hiring staff members?

  X   yes

\_\_\_\_\_ no

Comments:

8. Does your staff have the opportunity to interview job candidates?

  X   yes

\_\_\_\_\_ no

Comments:

9. Do you hire entry-level staff members?

  X   yes

\_\_\_\_\_ no

Comments:

10. Have you made additions to your staff in the following areas:

a. special gifts	<u>  X  </u>	yes	_____	no
b. deferred giving	<u>  X  </u>	yes	_____	no
c. government relations	_____	yes	<u>  X  </u>	no
d. corporate/foundation gifts	_____	<u>  X  </u>	yes	_____ no

### STAFFING

"The development staff is comprised of individuals who possess at least a BA degree. Of course advanced degrees are welcomed.

If competence and quality are evident, then internal promotions are made. But if the expertise needed is so special and is not to be

found inside, then the search goes to the outside for talent.

Much of the clerical and research duties on gift income is done by student service workers. They are a good source of efficient and inexpensive help. Positively, it helps them to become more aware of how Institution D pays its bills.

I was alumni director for several years before being promoted. Five years were spent in alumni relations and programming. When the former vice president retired, I was promoted to vice president for development.

This office has never utilized the services of a recruitment firm to locate staff members. Sometimes ads are placed in the CHRONICLE OF HIGHER EDUCATION, or through the associations and their publications. And of course, the position openings are posted internally. Occasionally this office has hired a recent grad, usually in publications or alumni relations.

The entire staff gets involved in the screening process. All candidates must meet with the staff sometime during the interviewing process and before an offer is made a discussion is held with the staff. Then a recommendation is made to the president who has the final say.

Additions have been made in special gifts, (but as a special assistant to the president not officially in the development office), deferred giving, and corporate/foundation gifts. The board still has not approved the hiring of someone in governmental relations. This is a mistake. There is a great need for someone to monitor the funding legislation and other current events at the federal level."

## QUESTIONNAIRE RESPONSES

## LEADING

1. Was your educational background a criterion utilized in your selection for your present position?

  X   yes

       no

Comments:

2. Do you hold regularly-scheduled staff meetings?

  X   yes

       no

Comments:

3. Are all your subordinates functioning in a peer relationship?

  X   yes

       no

Comments:

4. Does your area provide both formal and informal channels of communication?

  X   yes

       no

Comments:

5. Do you provide staff members with increased responsibility through job enrichment?

  X   yes

       no

Comments:

## LEADING

"My educational background was a consideration in hiring. The

possession of the doctorate was thought a plus in that this would give 'respectability' to the development office at an academic institution.

The staff is encouraged to actively participate in the bi-weekly staff meetings. Each makes a report and this helps all to know what the others are doing in the department. Staff morale is quite important, especially when the income is down and the president is asking difficult questions for which answers are scarce.

Below the level of vice president, there are three directors and the rest of the staff fit into the respective areas: fund raising, alumni, and publications. The communication is hopefully formal and informal, depending upon the situation. The staff members are encouraged to socialize with each other to help develop morale and a positive working atmosphere.

Staff members are encouraged to enlarge their responsibilities but only within their area. If a more effective and efficient way of functioning can be found, then this office encourages it.

I meet regularly with each of the staff members to give whatever assistance and support is necessary. A high premium is placed upon each person developing into a true professional."

#### QUESTIONNAIRE RESPONSES

##### EVALUATING

1. Does your institution utilize an evaluation system such as MBO/R, (Management by Objectives/Results)?

☒ yes  
☐ no

Comments:



2. Do your staff members sustain a regularly-scheduled formal evaluation?

  X   yes

       no

Comments:

3. Has your staff ever been evaluated by an outside consulting firm?

       yes

  X   no

Comments:

4. Are you formally evaluated by your superior?

       yes

  X   no

Comments:

5. Do your staff members have the opportunity to evaluate you?

       yes

  X   no

Comments:

### EVALUATING

"As was previously mentioned, this institution does utilize a modified form of MBO. Each area is responsible for determining its goals and objectives which serve as the basis for evaluation.

The progress is measured through a comparison between what was planned and what was accomplished. The president sets the overall goals of the institution, and, with the help of the director of institutional research, develops a master plan to be presented to the board of trustees.

In the development area, each staff member works out goals and objectives. This serves as my basis for the evaluation. Each staff member meets with me in private to discuss the amount of progress made each year in terms of reaching goals. For instance, if so many development calls are planned it is easy to check to see if the calls were made.

Dollar amounts are really the basis for evaluation in the development area. Either the office raises the money it said would be raised or it does not raise the money it said would be raised. The president and the development committee of the board monitor the progress of gift income each month through the EDP printouts.

The president does not formally evaluate me. Throughout the course of the year, meetings are held to measure progress on the income goals. At contract time the president and I meet to discuss salary for the entire staff of the development office. The president, with guidelines from the board, will evaluate on the basis of the finances at hand and the money raised."

#### QUESTIONNAIRE RESPONSES

##### DEVELOPING

1. Do you provide new staff members with an orientation program?

\_\_\_\_\_ yes

  X   no

Comments:

2. Do you provide expense-paid opportunities for staff members to attend professional conferences, meetings, etc.?

  X   yes

       no

Comments:

3. Do your staff members receive paid subscriptions/membership dues to professional organizations?

  X   yes

       no

Comments:

4. Has your institution recently been through an accreditation review?

       yes

  X   no

Comments:

5. Has your institution recently, (or ever), been engaged in a program of organizational development for administration and/or faculty?

  X   yes

       no

Comments:

6. Does the institution provide payment or reimbursement for educational expenses of staff members in your area?

  X   yes

       no

Comments:

#### DEVELOPING

"More work should be done in orientating new staff members.

Maybe too much is assumed about the knowledge of the operation.

The staff members are encouraged to read, visit, and participate in professional advancement. Dues, subscriptions, and travel expenses are paid by the institution. It is a good investment in the people who generate the gift income and make friends for the institution.

Several years ago an outside firm was brought in to work with all administrators, department by department. Most of the effort was concentrated in the instructional area, but development did come in for some constructive criticism about its day-to-day operations. One result was a realignment of the functions into more distinct categories and thus a more efficient utilization of staff.

A major institutional accreditation review is coming in 1980.

Staff members are encouraged to continue formal education and course work taken at this institution is free to employees. Some arrangements can be made if the work has to be taken outside, for something special like photography.

The turn over rate in the development office is quite low, in comparison to other institutions. The staff have ample opportunity to grow within the institution and to grow as individuals. This trend should continue as it is a good commentary on the institution."

INSTITUTION E

BACKGROUND INFORMATION  
ON INSTITUTION E

Institution E was founded in 1872 as a private college for men near a metropolitan area on the West Coast. It has a single campus with extensive dormitory facilities.

Institution E offers an extensive curriculum in the liberal arts and pre-professional programs.

Facts:

Total enrollment for academic 1978-79 is 2,000

Faculty number 185+

Operating budget of \$10,000,000

Average tuition of \$4,800

Room/board cost of \$2,000

Gift income for FY 1978-79 approximately \$2,000,000

Endowment of \$930,000

Board of Trustees comprised of 9 members, 8 elected and the president serving ex officio.

Growth pattern reveals a stable enrollment for the past several years in the undergraduate division with modest increases in adult and continuing education. The institution has produced 9,200+ alumni.

Excerpt from institutional Case Statement:

"The college understands liberal education as a process of intellectual and imaginative development. While the college believes that its programs provide an excellent foundation for careers in the professions, in public service, and in business, it does not direct

its primary efforts toward the development of technical proficiency. The college is determined to achieve academic excellence and fiscal stability."

# BACKGROUND INFORMATION ON THE DEVELOPMENT OFFICER AND STAFF

The chief development officer at Institution E holds the title of Director of Development and Public Relations. The incumbent has served at Institution E for three years as director. The director has seven years of fund raising and public relations experience, holds a MA degree and directs a staff of four.

## QUESTIONNAIRE RESPONSES

### PLANNING

1. Does your institution utilize an institution-wide system of long range planning?

\_\_\_\_\_ yes

  X   no

Comments:

2. Do your responsibilities include participation in the long range planning process?

  X   yes

\_\_\_\_\_ no

Comments:

3. Are you ultimately responsible for the planning in your area?

  X   yes

\_\_\_\_\_ no

Comments:

4. Are you responsible for budget preparation in your area?

  X   yes

       no

Comments:

5. Does your institution's information system provide monthly expenditure reports?

  X   yes

       no

Comments:

6. Do you function with line authority?

  X   yes

       no

Comments:

7. Do you report regularly to a committee of the board of trustees?

  X   yes

       no

Comments:

8. Do your subordinates participate in the planning process in your area?

  X   yes

       no

Comments:

9. Have you modified the goals in your area to meet the current trends in giving programs in higher education?

  X   yes

       no

Comments:



10. Are you responsible for the "market research" of potential donors?

  X   yes

       no

Comments:

11. Does your institution employ a director of institutional research for long range planning?

       yes

  X   no

Comments:

12. Does the board of trustees participate in the planning of goals and objectives in your area?

  X   yes

       no

Comments:

### PLANNING

"The institution does not utilize a system of planning which ties together all areas, per se. Each major area, academics, finance, student affairs, and development, plan for their area.

The president's planning council includes: (1) the president; (2) the academic dea; (3) the dean of student life; (4) the director of development; and (5) the director of plant and finance.

This group meets weekly to develop plans, both short range and long range for the institution. The budget is developed by this group, with assistance from the office of controller. The budget document is then presented to the board of trustees at the fall meeting for an initial review.

Each major administrator is expected to develop long range planning in his area. The development area works closely with the development committee of the board. As the board has limited membership, the development committee is one of three standing committees: (1) the executive committee; (2) development committee; and (3) the committee for plant and finance.

Recently the institution purchased a computer which gives the administrators data on income, expenses, and undergraduate applications and other such information needed for decision making.

I report regularly to the development committee. I am an ex officio non-voting member of the committee. Much work is done with the board members in the generation of gift income. Work is planned by the committee members and myself.

The overall research of prospective donors is my responsibility with assistance from the president and the board members. As the capital campaign moves into gear, it will be necessary for the trustees to become more involved. I will seek information on those individuals who can substantially contribute to the success of the campaign."

#### QUESTIONNAIRE RESPONSES

##### ORGANIZING

1. Is each of your subordinates responsible for a specific portion of the fund raising program?

  X   yes

       no

Comments:

2. Do you make additions to your staff in response to specialization in fund raising responsibilities?

  X   yes

       no

Comments:

3. Is the present organizational structure of your institution consistent with the mission and goals of the institution?

  X   yes

       no

Comments:

4. Does the organizational structure provide distinct systems for policy development and policy implementation, i.e., for governance and administration?

  X   yes

       no

Comments:

5. Do you provide clear lines of accountability and provide sufficient authority for your staff members to carry out their assigned tasks?

  X   yes

       no

Comments:

6. Does the committee structure of the board of trustees provide for a development committee?

  X   yes

       no

Comments:

7. Are you an ex officio member of the development committee?

  X   yes

       no

Comments:

8. Are you responsible for coordinating the fund raising activities of the president and trustees in the solicitation of major gifts?

  X   yes

       no

Comments:

9. Has board membership been expanded recently both in numbers and in professional background of individual trustees?

       yes

  X   no

Comments:

10. Is the board of trustees self-perpetuating or are members elected by various institutional constituencies?

  X   yes

       no

Comments:

11. Does board membership include student representation?

       yes

  X   no

Comments:

12. Are trustee meetings open to the public?

       yes

  X   no

Comments:

13. Does the institution provide orientation for new board members?

  X   yes

       no

Comments:

14. Does the institution provide in-service programs for incumbent trustees?

  X   yes

       no

Comments:

15. Are you responsible for generating position descriptions for your staff members?

  X   yes

       no

Comments:

### ORGANIZING

"Each staff member has the authority to define his area of responsibility, for planning, budgeting, etc. The staff works together when necessary to give assistance to each other.

I coordinate the overall activities of the area with input from each staff member. As the staff is relatively small, it is easy to meet and discuss what should be done to make the area's success.

One of my major responsibilities is to coordinate the fund raising activities of the president and the board members. When the plan for development is made it includes the number and kinds of calls to be made, the proposals to be written, and the contacts to

be made. It is my responsibility then to assign the right contact person.

As presidents and board members begin to realize the importance of their involvement in fund raising, they look to me for leadership in organizing the whole operation. My perspective should be the widest and his expertise the deepest.

The board has not expanded enough. More individuals should be brought aboard who have contacts in business and industry. They can be key to our fund raising efforts. There is little that I can do except to argue strongly for this expansion.

Trustee meetings are not open to the public. Thus the students and faculty are not aware of the workings of the board. This should be modified. At least the committee meetings should be open for visitation, though not participation.

The president has given me the responsibility for orientating new trustees and updating incumbent trustees. The effectiveness of the trustees is proportionate to the amount and kind of information they have. One of the greatest satisfactions of this office is the close contact with the trustees."

#### QUESTIONNAIRE RESPONSES

##### STAFFING

1. Is educational background a criterion you utilize in staff selection?

  X   yes

       no

Comments:

2. Do you prefer to promote from within for staff positions of increased responsibility?

  X   yes

       no

Comments:

3. Does your staff include student workers who perform clerical and/or research duties?

       yes

  X   no

Comments:

4. Is alumni status a prerequisite for the position of alumni director at your institution?

       yes

  X   no

Comments:

5. Does your present position represent a promotion from within?

  X   yes

       no

Comments:

6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

  X   yes

       no

Comments:

7. Do you have sole responsibility for hiring staff members?

       yes

  X   no

Comments:

8. Does your staff have the opportunity to interview job candidates?

  X   yes

       no

Comments:

9. Do you hire entry-level staff members?

  X   yes

       no

Comments:

10. Have you made additions to your staff in the following areas:

a. special gifts	<u>      </u>	yes	<u>  X  </u>	no
b. deferred giving	<u>      </u>	yes	<u>  X  </u>	no
c. government relations	<u>      </u>	yes	<u>  X  </u>	no
d. corporate/foundations gifts	<u>      </u>		<u>yes</u>	<u>  X  </u> no

#### STAFFING

"A BA or its equivalent is a must for the staff members and the pursuit of advanced degrees is encouraged. This is an educational institution and the staff members should have credibility with the instructional staff.

I was promoted from alumni secretary. The policy of internal promotion, based upon competency and dedication, is operative at this institution. Though the staff is small there is some room for advancement.

All the alumni directors in recent memory are graduates of the institution. It helps when the alumni director has knowledge of the place and the people.

This office did utilize a search firm to locate a media person. Ads in the CHRONICLE OF HIGHER EDUCATION did not bring in



the quality and quantity of candidates sought by this office or by the president.

The additions to the staff are made on my recommendation to the president, who has the final say. The hiring of recent grads is particularly popular with the president.

The addition of someone in deferred giving is under consideration. This is an area where the institution needs to do more work to generate additional gift income.

The entire staff is involved in the screening process. All candidates must interview at least once with the entire staff and then recommendations are made me. This is good for staff morale and insures that the addition can work with the present staff.

For an institution this size, and with the specialization in fund raising, the staff should grow to about seven in number."

#### QUESTIONNAIRE RESPONSES

##### LEADING

1. Was your educational background a criterion utilized in your selection for your present position?

\_\_\_\_\_ yes

  X   no

Comments:

2. Do you hold regularly-scheduled staff meetings?

  X   yes

\_\_\_\_\_ no

Comments:

3. Are all your subordinates functioning in a peer relationship?

  X   yes

       no

Comments:

4. Does your area provide both formal and informal channels of communication?

  X   yes

       no

Comments:

5. Do you provide staff members with increased responsibility through job enrichment?

  X   yes

       no

Comments:

#### LEADING

"My educational background was not a consideration in my promotion from alumni secretary to director of development. The experience and familiarity with the institution were more important.

Staff meetings are held weekly or as frequent as possible depending upon the travel schedule. Oftentimes the president is invited in to make a presentation or just to listen to the reports of the staff. It is good for morale.

Below the level of director all my staff function in a peer relationship. As the staff is small there is ample opportunity for both formal and informal communication. Outside of the staff meetings there is some socializing.

Each staff member is encouraged to take responsibility for

preparing the agenda for one of the sessions prior to the board meetings. It is a good way for the staff to assume leadership and also to help each staff member become more aware of the activities of each other.

Leadership is group process orientated. Some direction comes from the top, but the staff as a staff leads the area to success in fund raising.

The staff members are encouraged to enlarge their scope of activity but not to the detriment of another staff member. For example, the person in charge of alumni could work in some special events, but should not interfere with the activities of the publications person. They should complement each other's work, not interfere."

## QUESTIONNAIRE RESPONSES

### EVALUATING

1. Does your institution utilize an evaluation system such as MBO/R, (Management by Objectives/Results)?

  X   yes

       no

Comments:

2. Do your staff members sustain a regularly-scheduled formal evaluation?

  X   yes

       no

Comments:

3. Has your staff ever been evaluated by an outside consulting firm?

  X   yes

       no

Comments:

4. Are you formally evaluated by your superior?

       yes

  X   no

Comments:

5. Do your staff members have the opportunity to evaluate you?

  X   yes

       no

Comments:

### EVALUATING

"Several years ago the board mandated that the institution go to some variation of MBO for planning and accountability.

Each administrator must develop the goals and objectives for his area. Evaluation naturally follows from this process. There must be agreement between what is planned and what happens.

Each staff person in development determines the goals and objectives for the particular area and submits these to me. I am responsible for the MBO plan for the development area. Accountability is based upon these goals and objectives.

An outside consulting firm was retained by the board to evaluate the development area just prior to the change in directors.

Each staff member meets regularly with me to discuss progress.

And once a year, usually at contract time, the staff member and myself get together to discuss what has been accomplished in comparison to what was planned.

Informally, the staff has the opportunity to evaluate me. But the entire staff works well together that it is obvious who is not performing and who is.

New members of the staff are apprised of the basic guidelines and expectations. The success or failure of the department depends upon the work of each staff member, including myself.

The president and board are always aware of what is going on in development and public relations. Through frequent contact progress is monitored and help given. Rarely are negative evaluations a surprise. And if the staff has not met the fund raising goals, the reaction of the board won't be a surprise either."

#### QUESTIONNAIRE RESPONSES

##### DEVELOPING

1. Do you provide new staff members with an orientation program?

  X   yes

       no

Comments:

2. Do you provide expense-paid opportunities for staff members to attend professional conferences, meetings, etc.?

       yes

  X   no

Comments:

3. Do your staff members receive paid subscriptions/membership dues to professional organizations?

  X   yes

       no

Comments:

4. Has your institution recently been through an accreditation review?

  X   yes

       no

Comments:

5. Has your institution recently, (or ever), been engaged in a program of organizational development for administration and/or faculty?

       yes

  X   no

Comments:

6. Does the institution provide payment or reimbursement for educational expenses of staff members in your area?

  X   yes

       no

Comments:

#### DEVELOPING

"New staff members, having gone through the interview process, become aware very quickly of what the office is about. But we make a special effort to make the new person feel at home at the institution, especially if that person comes from outside the area.

The staff members are encouraged to grow personally and professionally. The institution does try to help out with dues and subscriptions and travel expenses. For specific publications the

office will pay the fee and travel expenses are worked out with the business office. More money should be made available for professional development and may be in the future.

The institution did sustain an accreditation review in 1977. It was modestly helpful. The preparation of the self-study was a good exercise and helped to focus attention on some pressing issues in staff utilization and budget-making.

The institution continues to offer some tuition rebate for advanced work by staff members. As the institution has no graduate division, the work must be done outside."

## CHAPTER IV

### ANALYSIS OF DATA

The purpose of this study is to analyze the role of the development officer as administrator in terms of the administrative functions articulated by Sprunger.

Throughout, the study has been guided by the following major questions:

1. What do the authorities say are appropriate administrative activities of the development officer as related to  
(a) planning; (b) organizing; (c) staffing; (d) leading;  
(e) evaluating; and (f) developing?
2. What are the current practices of the development officer in relation to the aforementioned functions?

The field of inquiry was private higher education with emphasis placed upon the generation and administration of programs related to fund raising i.e., those activities commonly associated with securing non-tuition monies in support of institutions of higher learning.

Within the context of fund raising, the study is concerned with the convergence of fund raising and higher educational administration at a point which shall be referred to as "the role of the development officer."

Preceding chapters have dealt with (1) an historical overview of philanthropy in American higher education; (2) the evolutionary



process in higher educational administration culminating in the designation of the development officer as the administrator responsible for fund raising; and (3) a discussion of the role of the development officer as administrator in terms of the Sprunger functions. All this material is presented in preparation for the analysis to follow.

Definitions of analysis have included such phrases as, "a separation of a whole into its component parts," and "an examination of a complex, its elements, and their relation."

What is being attempted is an acquisition of knowledge about contemporary fund raising administration so as to be able to translate data retrieved into meaning derived. What is being attempted is to reach the point where, after tallying the questionnaire responses and conducting the interviews, the study can address two basic questions posed by one authority in educational administration (1) what is the significance of the data and (2) what are the implications for administration.

Returning to the definitions of analysis, the study seeks to describe and elucidate the role of the development officer in terms of its constituent elements and the relationships among these elements.

For purposes of this study, the role of the development officer was viewed as having six constituent elements, (functions): (a) planning; (b) organizing; (c) staffing; (d) leading (e) evaluating; and (f) developing. An attempt was made to provide an understanding of each function and the interactive patterns of all six functions.

Chapters II and III of this study are concerned with the

acquisition of knowledge related to contemporary fund raising administration. Data have been retrieved from theorists and practitioners, from scholars and administrators. Meaning can only be derived from a thoughtful interpretation of such data.

An attempt was made to construct a sample population about which valid statements could be made regarding fund raising in private higher education. The sample population included one hundred chief development officers from institutions identified as (1) private and/or sectarian in governance; (2) based upon the liberal arts curricular tradition; and (3) functioning at the four-year college or university level. Responses from the sample population totaled sixty-seven.

From outside the original sample population were selected five chief development officers and their institutions which served as case study examples. These five provide the basis for an indepth analysis of contemporary fund raising administration in private higher education in the United States.

Chapter IV is divided into two major sections, each dealing with a different source of data.

The first section provides an analysis of data based upon a comparison between the administrative activities of chief development officers suggested as appropriate by the authorities and the administrative activities of the sixty-seven respondents to the survey questionnaire.

The second section provides an analysis of data based upon the indepth personal interviews conducted with the five selected chief

development officers. An attempt is made to give a distinct analytical treatment to fund raising data relative to an approach utilized by five different practitioners.

A further note of clarification may be in order. The original sample, of one hundred institutions, was constructed to provide a broad survey of contemporary fund raising practices in private higher education throughout the United States. What follows is a comparison between what is suggested by authorities and what is being done by practitioners relative to the generation and administration of gift income.

To complement the above comparison, it was decided to select an additional five institutions and their chief development officers to provide an analytical investigation into five separate fund raising programs. Some similarities in institutional profile and administrative techniques are evident. But the emphasis has been placed upon those characteristics and dynamics unique to each institution, characteristics and dynamics such as total enrollment, level of gift income, staffing procedures, and trustee involvement in fund raising.

ANALYSIS:

SECTION ONE

Analysis of Authoritative  
Principles and Sample  
Questionnaire Responses

The first section of Chapter IV has six components, consistent with the six major functional units of the questionnaire. For each unit, the study summarizes the fund raising principles cited from authoritative sources in Chapter II and compares those principles with the responses from completed questionnaires. Percentages cited refer to percent of "yes" responses to each item.

PLANNING: Principles

1. The fund raising program should be defined and designed so as to determine the kinds and degrees of involvement of both the various volunteer groups and gift income sources.
2. The institutional case statement should contain (a) a clear expression of the philosophy and goals of the institution; (b) a sensitivity to current market and economic trends as they effect attendance at and support of private higher education; and (c) an awareness of the degree of credibility now possessed by educational institutions in terms of fiscal management and social responsibility.
3. The institution must contain some type of administrative unit responsible for planning, both on a short term and a long range term; long range presently interpreted as three to five years in the future.

4. Planning for the generation and administration of fund raising programs must be fundamental in the planning process for the entire institution. Development planning is not ancillary but central to the viability of the institution, and, as such, must enjoy priority status in the institutional planning process.
5. The chief development officer must be a full-fledged member of whatever high level committee or staff is responsible for institutional planning.
6. Techniques and programs initiated by the corporate and business sectors have direct applicability to the planning needs in higher education. Such techniques/programs include (a) Program Planning Budgeting Systems; (b) Management by Objective/Results; (c) Program Evaluation and Review Technique; and (d) Management Information Systems.
7. The institution should consider adding to its staff an administrator responsible for the overall planning process; this administrator could be a director of planning or a director of institutional research.
8. The institution should have available a reasonably sophisticated electronic data processing system to provide the capability for gathering and disseminating information related to (a) admissions; (b) gift income; (c) monthly expenditure reports; and (d) other such information utilized in planning, decision making, and evaluating.

9. The chief development officer should have line status/ authority at the institution. Such a position in the organizational chart provides access to the higher administrative echelons and demonstrates the importance which the institution places on development.
10. It is crucial that the corporate board or board of trustees is highly involved in the planning of all fund raising programs. This involvement presumes a close working relationship between the chief development officer and either the entire board or its designated development committee.

PLANNING: Responses

A high percentage (69%) of institutions have adjusted their planning process in development to achieve consistency with current trends in fund raising. Deferred and estate giving are becoming important sources of non-tuition revenue. The planning process must accommodate to potential difficulties associated with deferred and estate giving. Often funds received from these sources are accompanied by restrictions regarding utilization of the funds. It can be assumed that institutions would prefer fewer restrictions so as to have greater leeway in allocation of gift income. Regarding volunteers and even staff, it seems obvious that institutions which receive substantial monies in deferred and estate funds are going to need alumni volunteers and staff professionals knowledgeable about tax laws, trusts, wills, and bequests.

Long range planning has become more sophisticated as a very high percentage (88%) report increasing reliance upon EDP, (electronic data processing), as a planning tool. Institution-wide planning is recognized as more crucial (85%) with increasing participation by the chief development officer. It is likely that fund raising has become a central element in the overall approach the institution utilizes in planning.

In reference to current trends, enrollment projections, inflation rates, rising costs, and increased public skepticism account for a more "business-like" approach to educational planning and administration. A high percentage (72%) of institutions report the formation of executive planning committees comprised of the top administrators at the institution, including the chief development officer. Planning has obviously become a top administration priority.

Sixty per cent of the institutions report having long range planning associated with a director of institutional research or director of planning. This addition to the planning staff is likely based upon (a) an awareness of the specialized training and expertise needed in institutional planning; (b) an adaptation of a business/corporate personnel technique to higher education; and (c) fuller utilization of EDP as the planning director usually possesses a strong background in academic computing. It seems likely that as boards of trustees expand to include more business professionals, more tools of business management will appear in the planning process.

Budget preparation responsibility (94%) corresponds to



increased recognition given to development. And more autonomy will mean more accountability.

A sophisticated use of EDP (88%) for budgetary purposes includes reporting systems to tighten fiscal control over income and expenses. It seems likely that institutions are being called upon to run more like "businesses," with greater emphasis upon sound fiscal and personnel management practices. This emphasis is obviously a reaction to a call for greater accountability from the various publics associated with higher education.

One hundred per cent of the chief development officers are functioning with line authority. This response underscores the increased importance of the development area in college and university administration. As the development officer assumes the rank of vice president in the organizational chart, it is likely an evidence that fund raising is given status equal to academics, finance, and student services which traditionally have been represented by someone at vice presidential rank.

There is great emphasis (100%) upon widening staff participation in the planning process associated with the development area. This emphasis is probably based upon (a) a recognition of the expertise of each staff member and (b) an attempt to insure high staff morale through a democratic planning process based upon communication and participation.

The chief development officer is responsible (97%) for the planning process associated with researching potential donors. This commitment to research suggests a greater degree of sophistication

in planning and likely results in more effort in the pre-solicitation stage. An economical use of financial and personnel resources in researching potential donors should mean a higher percentage of successful solicitation. The researching dimension places a substantial responsibility upon the chief development officer to "know his market."

A high percentage (75%) report a formal communication mechanism/procedure between the development office and the board of trustees. This response suggests a recognition of the significant relationship between the fund raising activities at the institution and the role of the trustees in such activities.

Eighty-seven per cent report involvement of trustees in the fund raising program at the planning stage. This suggests a shift from mere advise/consent activity to active participation in the actual planning of the fund raising program. The role of the board member may be shifting from absentee participation to a more direct involvement in the day-to-day functions of the institution. This involvement is likely based upon (a) an attempt to more fully utilize the professional expertise of the individual trustee; (b) an attempt to get the trustees directly involved in the solicitation process; and (c) an attempt to have the trustees more accountable and visible to the institution's publics. It seems obvious that a more vigorous screening process is needed in trustee selection as a firm commitment to active participation must be assured by the potential trustee before appointment or confirmation.

ORGANIZING: Principles

1. As development programs become more complex, the role of the chief development officer as coordinator becomes crucial. Successful development programs require a greater variety of staff experts and funding sources.
2. An institution must communicate clearly its governing structure in terms of both policy development and policy implementation.
3. The chief development officer must coordinate the fund raising activities of the president and the trustees. He must give direction to the entire fund raising program.
4. The board of trustees and the development officer must enjoy a positive working relationship, especially as the involvement of the board becomes crucial to the success of the fund raising program.
5. As institutions seek to improve and expand board membership and board activities, such issues as membership selection, committee structuring, meeting procedures, and orientation and in-service for new and incumbent trustees become increasingly important.
6. It is fundamental that the chief development officer have, and that he give his subordinates, authority commensurate with responsibility. Accountability is a meaningless term without the authority to get the job done.

ORGANIZING: Responses

A very high percentage (96%) report specialization of fund raising activities associated with the development staff. This specialization suggests an awareness of (a) the complexity and diversity of fund raising activities; and (g) a greater need for specialized skills on the part of staff members.

Eighty-two per cent report a diversity in fund raising approaches consistent with a growing number of district philanthropic sources. It is obvious that distinct sources of gift income must be solicited through distinct programs and that staff members be aware of such distinctions and be able to function effectively by developing the necessary skills.

Eighty-one per cent would make additions to staff based upon specialization in marketing and communication skills, especially in the areas of print and electronic media. A key dimension in this marketing approach is the admissions program. Chief development officers are becoming involved in some coordination of the dimension. Their interest in admissions as fund raising is likely based upon the strategy that applicants can become students who become alumni, (parents and trustees) who should become donors.

Ninety-seven per cent report that the chief development officer is responsible for generating the position descriptions of subordinates. It is likely that as the fund raising program becomes more diverse, specialized, and in greater need of technical expertise, the chief development officer must expand his knowledge base to

include (a) a broad knowledge of the entire fund raising area; and (b) the specific knowledge related to distinct skills needed by individual staff members. The response suggests that responsibility for generating such important position descriptions is not being abdicated to the personnel office.

An extremely high percentage (94%) report that a clear distinction is made between policy formulation and policy implementation. Policy is made at the board level and carried out at the administrative level. The development office enters the policy continuum at the implementation stage, functioning with authority delegated by the president. This distinction between formulation and implementation suggests (a) an attempt at a delineation of expectations between trustees and administrators as to functional responsibilities; (b) an extensive use of position descriptions to more clearly articulate the aforementioned responsibilities; and (c) a need for trustees and administrators with increased educational and experiential background as a basis for service in a more sophisticated administrative organization.

A significant number (97%) report a recognition of the fundamental importance of board involvement in fund raising as evidenced by the formulation of a development committee of the board of trustees. Such a high level committee dealing with a single area within the institution evidences the crucial nature of fund raising in terms of institutional viability. And the existence of an important committee means that membership on the committee should be reserved

for those with such qualifications as (a) personal wealth; (b) access to wealth; and (c) fund raising skills and experience. The role of the board, through its development committee, must be altered to become more activist in nature than the traditional "absentee landlord" model.

Though the recognition has been made of the importance of board involvement in fund raising and its consequent importance in institutional viability, there has been relatively minor attempt (37%) at expanding overall board membership to include larger numbers with (a) greater giving potential; (b) stronger educational background; and (c) higher professional status.

This low percentage (37%) committed to qualitative expansion might suggest (a) self-perpetuating boards (88%) are not likely to change radically either in terms of quality or activist involvement; (b) private institutions founded by religious congregations are reluctant to open board membership to activist lay people; (c) the selection process of new trustees, from initial screening to appointment/confirmation is outmoded; or (d) high caliber people are not interested in serving in a governance position at an institution with a questionable future.

Consistent with tradition, there is slight incidence of student representation on boards of trustees (12%). This traditional approach is probably based upon (a) the age of majority and its relation to entering into legally binding contracts; and (b) the potential for conflict of interest if students make fiscal policy

which directly affects them. A call for more accountability and participatory democracy in institutional governance might pose a threat to the tradition of exclusion of student representation on boards of trustees in the future.

Though the work of the board becomes more crucial, general meeting sessions are open to the public at relatively few institutions (7%). This response may be related to the fact that only private institutions were surveyed and thus tax payer pressure for "sunshine participation" is negligible.

If expansion for increased quality and diversity is evident in a minority of institutions (37%), there has been a trend developing toward acquainting new trustees with background on the institution and the role of the trustee in institutional governance. This kind of orientation generated a high response (88%), and would probably be necessary for (a) non-alumni trustees or those without previous contact with the institution; or (b) older alumni without children attending the institution and possibly ignorant of the current condition of the institution.

But this attempt at increasing the knowledge base for trustees usually ends with orientation. The percentage reporting a continuous form of in-service for incumbent trustees falls off dramatically (40%). It appears that assumptions are made, relative to in-service, that (a) trustees should acquire vital institutional information on their own; (b) necessary information can be acquired by attendance at trustee meetings; or (c) communications with the president's office should satisfy the need for more information. Trustee incumbency would seem

to require a continuous upgrading of the knowledge base for decision making. This lack of in-service could be attributed to either an attitude on the part of the president that in-service is not necessary or confusion as to how it should be done and to whom the responsibility should be assigned.

It appears that the role of the chief development officer includes substantial responsibility for coordinating the fund raising activities of the president and the trustees (88%). The chief development officer is obviously considered the expert in this crucial area of institutional administration. His responsibility includes (a) seeing that solicitation calls are made; and (b) that these calls are made by the appropriate volunteer or staff member. It is significant that there appears to be a trend which reveals a shift in coordinating fund raising activities from the president, (with assistance from the trustees), to the chief development officer.

An interesting counterpoint to the aforementioned trend is that less than half (48%) of the chief development officers are either ex officio members of the development committee of the board, or serve in a non-voting capacity on the committee. It may be that (a) the president's office is still the formal channel of communication between the development office and the board; or (b) the distinction between policy formulation and policy implementation is rigidly enforced within the corporate structure.

Performance effectiveness can be related to possession of authority. And such a combination of effectiveness and authority



should serve as the basis for accountability. A high percentage (88%) respond that the requisite authority is not only possessed by the chief development officer but is delegated to his subordinates. Performance expectations should be clearly perceived and should serve as the basis for accountability. Position descriptions are the formal expression of such performance expectations. And the increasing utilization of position descriptions and the call to accountability suggests an intervention of the corporate/business influence by various publics associated with the institution.

STAFFING: Principles

1. Educational and experiential consideration should be important determinants in the decision to hire a staff member.
2. Staffing procedures should include ample opportunities for internal promotion and advancement for the purposes of maintaining high morale and insuring professionalization of the development area.
3. Support and clerical services are important to a successful fund raising program whereby solicitations become more effective and internal institutional communication improves.
4. It is often preferable to hire staff members from within the ranks of the institution as knowledge of the institution can proportionately improve performance.
5. As funding sources become more diverse and complex,

effort should be made in devising staffing patterns which reflect recognition of such diversity and complexity.

6. It is important that the development area retain as much control as possible as to the screening and hiring of new staff members. There should be minimal involvement by areas or individuals outside development who would be ignorant of either fund raising in general or a particular institution's approach to fund raising.
7. It is important for the chief development officer to be aware of the variety of sources from which job candidates can be drawn and the legal requirements articulated by governmental agencies.

STAFFING: Responses

A high percentage (80%) of directors reported that educational background was a criterion utilized in staff selection. It is likely that a bachelor's degree would be a minimum requirement and that additional study could be necessary if responsibility were to increase and if advancement were to occur.

A high incidence (94%) of internal promotion is reported. As staff members maintain a professional affiliation with a particular institution they would (a) become increasingly familiar with the institution itself; (b) grow in the awareness of the diversity of activities associated with fund raising; and (c) perceive of opportunities for advancement at the institution and in the field.

In the area of support and clerical services, a relatively

high percentage (57%) of development offices include student workers. Regardless of whether the students are receiving financial aid or are serving in a volunteer capacity, it is important that the student population be exposed to the activities of the fund raising office. On the basis of the exposure it could be assumed that a significant amount of positive public relations about development would result within the institution. It would be important for the institution if (a) the student workers achieved a greater understanding of the financial realities at their institution relative to the amount of revenue generated from tuition and fees and the amount of revenue generated from outside sources; (b) the student workers would communicate this understanding to their classmates; and (c) informed students become dedicated alumni who become consistent donors.

About half (48%) of the institutions prefer to hire an alumnus to serve as alumni director. As alumni support, whether in terms of dollar or volunteer support, is fundamental to successful fund raising, hiring someone with a familiarity with the institution can be considered a plus factor.

In contrast to the selection of alumni director from within the ranks of the institution, a high percentage of development directors (60%) report their present position did not result from a promotion from within. This response may suggest that (a) there is a high degree of fluidity in the development profession at the highest echelons due to either a change in president or a failure to achieve fund raising goals; (b) incumbent directors were hired as directors

either from outside the institution or without having to spend a requisite period of subordinate roles. The hiring of chief development officers from outside the institution or outside the organizational ladder could (a) lower staff morale if this promotion is not possible from within; or (b) cause an unnecessarily high turnover rate in development staffs.

At the entry level point of the development hiring continuum, a very high percentage (72%) of directors report hiring entry level employees for staff positions. On the basis of the positive response, fund raising can be perceived as an excellent source of career opportunities for recent college graduates. Over and above the basic communicative skills required of any profession, an individual's major field of study would not necessarily preclude the opportunity to gain entrance into the field of fund raising. Thus, the initial hiring percentage (72%) coupled with the internal promotion percentage (94%) might suggest that fund raising could be an important career option for future college graduates.

As fund raising becomes crucial to the survival of private higher education, new sources of non-tuition revenue must be developed. Additions to the development staff in the following areas suggest a recognition of the documented contemporary trends in fund raising. Percentage responses are likely a reflection of institution's degree of awareness of such trends: (a) special grants - 60%; (b) deferred giving - 50%; (c) corporate/foundation - 79%; and (d) government funding - 18%. It is likely that legislation such as PL94-142 and

Title IX will encourage development officers to recommend staff additions for governmental relations. Also, as the amount of funds sought from governmental agencies increase institutions will probably need development staff specialists experienced in securing government funds.

Stronger emphasis must be given to the area of "special" gifts relative to capital campaign funds. As the costs of private higher education increase, there is a corresponding increase in the need for capital campaigns which generate large amounts of gift income for endowment, expansion, and renovation purposes. Staff additions under the "special" category usually coincide with preparation for the capital campaign. But an institution may choose not to hire a full-time staff member to work on the capital campaign if the services of an outside consulting firm have been retained to direct the capital campaign.

A great majority (78%) of responding directors prefer a situation whereby their office is responsible for staff selection and not to rely upon outside consultants. It appears that these directors (a) articulate staffing needs; (b) generate the position descriptions; (c) coordinate the screening to hiring process; (d) submit the final candidate for approval by the president. Such a comprehensive responsibility assumed by the chief development officer would necessitate having extensive knowledge of interview techniques and affirmative action procedures and other legal requirements associated with advertising position openings and selection

procedures. A potential for conflict could exist if an institution had a policy which required the formation of search committees for staff additions thereby resulting in a reduction in the autonomy and responsibility of the chief development officer in the selection procedure.

Consistent with the desire to keep responsibility for staffing within the development area, the directors are unanimous (100%) in responding that their entire staff, (professional staff), is involved somewhere in the hiring process. This degree of involvement would tend to (a) increase staff morale as subordinates are given the opportunity to give input into departmental decision making; and (b) increase each staff member's knowledge of the total area by becoming familiar with the skills necessary for effective functioning in each position.

LEADING: Principles

1. Fundamental to leadership is the concept of credibility of the leader based upon knowledge and experience.
2. Leadership can justifiably be considered as means of releasing human potential whereby the leader acts with and through others in achievement of institutional goals.
3. Full staff participation in departmental decision making can heighten staff morale and can promote the assumption of responsibility by subordinates.

LEADING: Responses

Educational background is reported as a definite criterion in the selection of the chief development officer at his institution.

The percentage (69%) is quite high. The mean number of years as chief development officer derived from the total of sixty-seven responses is 4.701 years and of the sixty-seven respondents, thirty have post-baccalaureate degrees, including one director with the Ed.D degree and one with the Ph.D degree. On the basis of educational background and length of incumbency it can be assumed that chief development officers (a) are required to have backgrounds which include education and experience commensurate with a key administrative post at an institution of higher learning; and (b) are continuing their formal education for personal enrichment and professional credibility.

Under the heading of "leadership and the release of human potential," several responses support the assumption that leadership is exercised through others and that the goals of the institution can best be achieved through a team effort. Directors report very high percentages for (a) regular staff meetings (96%); (b) subordinates functioning in a peer relationship (69%); (c) the utilization of formal and informal channels of communication (100%); and (d) job enrichment through increased responsibility (82%). It seems likely that chief development officers realize the importance of sharing authority, communications effectively, and minimizing a rigidly hierarchial structure to the success of the total fund raising effort. Furthermore, it can be assumed that staff members who are given opportunities to participate in decision making are likely to grow personally and professionally so as to contribute

more to their institution and to advance within the ranks of the fund raising profession. The opposite may also be true. Those denied the opportunities to participate may become stagnant and defensive, thus contributing to neither their own well being or that of the institution.

#### EVALUATING: Principles

1. Valid evaluation should include a clear understanding of such concepts as responsibility, accountability, and productivity.
2. Modern institutional evaluation can be increasingly more effective with the utilization of such management tools as cost benefit analysis and MBO/R.
3. Formal evaluation procedures should be fairly administered and should be positive rather than negative in tone, and should be conducted by those familiar with the achievements of the institution as well as the potential obstacles to success present at the institution.

#### EVALUATING: Responses

Less than half of the respondents (43%) report utilization of such sophisticated evaluative tools such as MBO/R. This is in contrast to high percentages of management techniques and EDP utilized in planning and budgeting, (72%/and 88%) respectively. Formal evaluative techniques such as MBO/R are shunned by a majority of institutions reporting. It may be that (a) institutions and administrators are reluctant to get "locked in" to what they perceive as rigid



parameters of accountability and are thus hesitant to sustain a tight scrutiny of results measured against intention; (b) MBO/R requires a sophistication in data gathering and dissemination which many institutions simply do not possess; or (c) the actual drafting of goals and objectives and the subsequent review of the level of progress achieved can be a tedious process which many administrators choose to avoid. But with increased representation on boards by corporate and business professionals, and a trend toward measuring productivity, administrators may in the future have no choice but to adopt formal evaluative procedures such as MBO/R.

Formal staff evaluation seems an intrinsic element in the administration of the development officer. Responses support this contention with high percentages of formal evaluation of staff by director (85%) and director by president and board (91%). It is likely that most of the evaluative procedures coincide with contract negotiations. And this trend toward formal evaluation may be in response to a call for responsible management of resources and achievement of goals by those who are asked to support the institution. If more effort is being expended in drafting position descriptions, discussing functional expectations, and making progress reports, it may be that pressure related to accountability is flowing downward in the organizational chart, from the level of trustees to the president and his subordinates and beyond to their staffs. There seems to be no indication that a call to accountability will decrease in the years ahead if rising costs, limited resources, and increased

skepticism are characteristics of the future.

The responses are closely divided relative to evaluation by outside consultants. Less than half (48%) of the directors report that outside consultants had been retained to evaluate the development staff. However, it can be assumed that one area which is frequently open to outside evaluation is the level of preparedness for a capital campaign. Most likely it is the board of trustees which makes the final determination to retain outside counsel for purposes of determining the quality of effort the development staff is likely to deliver in the capital campaign. Outside counsel often suggests that staff additions be made and that more financial and physical resources be allocated for the capital campaign program. These suggestions are usually perceived as positive statements by the development staff. But there exists the possibility that such suggestions will be perceived as a negative commentary on the efforts of the development staff and that even the presence of outside consultants is considered a threat to the status quo or an indictment against the effectiveness of the staff.

Other than the most rudimentary evaluation based upon informal communication, most directors are not evaluated by their subordinates. A small percentage (30%) of directors have set up procedures whereby the director is evaluated by his subordinates. It seems that participatory democracy has not reached the level whereby evaluation is an egalitarian effort. It is likely that the responsibility for evaluating the chief development officer is reserved for the president, (and

possibly the trustees).

The only evaluative criteria which seems to have validity relative to the chief development officer is the amount of gift income generated. The "bottom line" usually determines whether the chief development officer gets a raise or a release. It may be unfortunate that the staff does not have the opportunity to evaluate the director. Positive comments and insights could be exchanged and increased effectiveness and higher morale could result. Those chief development officers responding positively (30%) probably lead a small staff and place a high premium upon positive interaction.

#### DEVELOPING: Principles

1. Orientation of new staff members should include a familiarization with the unique characteristics of the institution, a discussion of mutual expectations relative to director and staff, and a commitment to a delegation of authority proportionate to responsibility.
2. A staff member should perceive a strong commitment of financial resources from the institution for purposes of personal and professional growth for each staff member.
3. Outside counsel can provide valuable assistance in overall organizational growth and development. The institution should strongly consider a financial commitment in this area.

#### DEVELOPING: Responses

Chief development officers seem to be aware of the importance

of new staff members feeling comfortable at the institution. A high percentage (87%) of directors report provisions made for some type of orientation program for new staff members.

It can be assumed that such orientation programs provide (a) knowledge about the particular institution; and (b) a discussion of mutual performance expectations. It would probably be counterproductive for the chief development officer to assume that staff members, solely on the basis of professional competence, can integrate their efforts/experience into a new situation. Though fund raising principles and techniques are thought of as standard in conception, they must be considered unique in application relative to the qualities and conditions indigenous to a particular institution. It is likely that the relationship between trustee orientation and trustee effectiveness is analogous to staff orientation.

Chief development officers seem to realize that continuous personal and professional growth for staff members, as well as for officers themselves, can result from (a) increased formal education; (b) attendance at professional meetings; and (c) attention to professional publications. This administrative realization is suggested by the highly positive responses related to institutional commitments to staff development. The percentages for professional meetings (97%), subscription/membership dues (96%), and continuing education (96%) suggest a significant commitment to investing in the personnel resources of the development staff. And from a business point of view, the emphasis is definitely based upon the concept of investment.

Both in attitude and dollar expenditure, staff workers who perceive an interest in them by the institution in becoming more effective and satisfied, are more likely to become so. Thus, a commitment to staff development can be considered a price to pay for a successful fund raising program.

On the basis of their responses, directors suggest that a high percentage of their institutions (81%) seem reluctant to engage in any institution-wide program of organizational development. Such reluctance on the part of trustees and presidents might stem from (a) fear that such a significant expenditure of money and staff time will not generate proportionate results; or (b) skepticism that any program which attempts to make institution-wide recommendations for improvement will produce highly negative feedback from those who value departmental identity and autonomy. It seems reasonable to assume that trustees and presidents would give considerable pause before spending a great deal of money to bring in outsiders to tell the faculty and staff what they should be doing. Academicians might be loathe to accept any kind of criticism from management consultants. Academicians might suggest that the consultant fee be apportioned out in faculty/staff pay envelopes.

ANALYSIS:

SECTION TWO

INSTITUTION A

## Case Study Institution Analysis

### Institution A

#### PLANNING

On the basis of its urban location, comprehensive curriculum, endowment structure, and current growth patterns, Institution A should be planning for relatively stable growth into the 1980's.

Though the demographic statistics relative to the pool of available eighteen year-olds suggests an overall decrease in the size of the pool, an aggressive recruitment program can help to maintain a stable growth pattern. As opportunities for student employment are better at an urban institution than at a rural institution and as costs for board are lower in the family residence as compared with dormitory costs, the urban Institution A seems better able to remain viable in a period of overall enrollment decline.

Institution A arrived relatively late in the long range planning area. A total system of institution-wide planning, under the aegis of a planning council and director of planning, has been operative for only two years. Institution A will require a new master plan before it can generate a case statement consistent with a projected capital campaign. And there must be a clarification of the role of development with the master plan. Within the development area itself, there must be more comprehensive and integrative planning relative to the development committee of the board and the development staff. Clearer expectations of potential as well as incumbent board



members must focus upon fund raising responsibilities. Each staff member must be encouraged to generate goals and objectives for his specific area which will interface with the total development plan as desired by the chief development officer.

A final word regarding planning. Institution A, though successful in fund raising and healthy in endowment, must seek to reduce the thirty-three per cent dependence upon restricted gift income. The institution must generate giving plans and communicate with potential donors in such a way as to increase unrestricted giving thus increasing institutional flexibility in response to financial exigencies.

#### ORGANIZING

The generation of the case statement must be based upon a clear communication of the involvement of the president and the trustees in the solicitation of gift income. It is the responsibility of the chief development officer to coordinate such solicitation; the case statement, under the authorship of the chief development officer, must reflect a commitment to such a coordinate effort.

The chief development officer, functioning in his coordinating capacity, must spell out clearly the role of staff members and volunteer groups in the solicitation process. Each staff member must be encouraged to focus his attention upon a specific source of gift income, e.g., annual funds, special gifts, bequests, corporate/foundation support, and the projected amount of income each source as a percentage of the total fund raising goal for the year.

The capital campaign at Institution A is projected to begin within two years. But before announcing a project of this magnitude, probably \$10 to \$15 million dollars, more effort must be expended in the areas of market research and leadership identification. It is common practice that at least one-half the total capital campaign goal be committed before any announcement is made of a capital campaign effort. This commitment usually contains a significant number of substantial gifts which are used to "prime the pump" for the remainder to be raised. Major donors must be identified, researched, and solicited, all under the coordination of the chief development officer. It is his prime responsibility to see that the solicitation is made by the appropriate volunteer(s)-- usually the president and one or more members of the board. As the projected capital campaign will be announced almost ten years since the completion of the last capital campaign, (an unusually long interrump), the prime responsibility becomes crucial.

#### STAFFING

The overall staffing needs of any development office are contingent upon the funding mix determination. Based upon such elements as alumni support, government grants, estate planning, and corporate giving history, the institution decides the level of financial support which will be sought from each of the aforementioned sources.

Institution A, in its desire to increase corporate support is faced with a decision whether or not to hire a professional with

experience in corporate giving. The same process would be followed depending upon the philanthropic source to be developed.

Staffing is contingent upon knowledge of sources of potential candidates. Both internal announcements, to faculty, staff, and students, and external announcements, CASE, AAFRC, and the CHRONICLE OF HIGHER EDUCATION, should be utilized. Subsumed under the announcement function, is the responsibility of the chief development officer to generate a position description which truthfully and attractively encourages a number of responses from qualified candidates.

Finally, Institution A has set upon itself the challenge to hire more blacks and other minorities for development responsibilities. This is a formidable challenge. Outside of black institutions, representation on development staffs is probably the lowest in comparison with any other administrative area in higher education, public or private.

#### LEADING

Institution A is fortunate in having a chief development officer with not only a solid background in fund raising, but a history of service at the institution. Part of leadership is credibility, and the fact that the director has made an eight year commitment to Institution A bodes well for his credibility with the various publics served by the institution.

Leadership can be considered dependent upon the coordinated efforts of subordinates in the achievement of institutional goals. At Institution A more effort must be expended upon integrating the

efforts of each member of the staff into a cohesive unit while at the same time encouraging growth to occur based upon autonomy. The chief development officer at Institution A should encourage each staff member to function as a specialist while maintaining the vision of a generalist.

#### EVALUATING

The evaluation of staff in the development area at Institution A must be based upon clearly expressed criteria. And any set of evaluative criteria must affirm the relationship between expectations and results. The chief development officer must be clear about what is expected as the basis for what will be decided.

#### DEVELOPING

A major challenge for the chief development officer at Institution A may be devoting the necessary time and attention to each of the eight staff members.

Each individual possesses a varying amount of growth potential. Opportunities must be provided to each staff member so that individual growth occurs and contributes to staff growth.

The chief development officer was successful in convincing the board that the budget should include provisions for staff development. In times of rising costs and inflation, the board at Institution A may perceive staff development as a budgetary item with potential for reduction. The chief development officer should insist that the original decision was correct and should be continued-- investing in staff development is an investment in the viability of the institution.

INSTITUTION B

## Case Study Institution Analysis

### Institution B

#### PLANNING

As in the case of Institution A, Institution B should enjoy stable growth in a period of enrollment stabilization. The advantages of an urban setting are such that many students, especially poor and minority students, may choose an urban institution over a more expensive boarding school far from home.

Institution B does engage in institution-wide planning through utilization of an MBO system. Though it seems that the absence of sophisticated EDP capability reduces the level of information needed for decision making. Also absent is a designated administrator for planning. It is possible that the board of trustees and the president wish to place the responsibility for planning squarely on the vice president and deans with the interesting fact that the vice president for development does not serve on the planning council. This fact could suggest ignorance, oversight, or institutional politics.

Institution B's formal application of MBO to the development area is unique in terms of the other institutions surveyed in this study. The revelation by the chief development officer that the board of trustees has significant representation from the business and corporate communities might explain the utilization of the MBO tool.

Institution B relies almost exclusively upon tuition/fees

for operating revenue. Eighty-five per cent of the current operating funds comes from tuition/fees; the remaining fifteen per cent from gift income. An operating budget of \$31 million almost exclusively reliant upon tuition/fees can be overly vulnerable to enrollment fluctuation, especially as fixed costs such as maintenance and fuel costs are fairly immune to the size of the freshman class.

But in the context of this reliance upon tuition/fee revenue for current operating expenses, it must be mentioned that Institution B has a significant number of poor and minority students almost all of whom receive federal aid in the form of Basic Education Opportunity Grants, Supplementary Educational Opportunity Grants, state aid, and work study funds as well as low interest guaranteed loans. As long as Institution B maintains its commitment to minorities and as long as governments appropriate the funds, Institution B can survive.

#### ORGANIZING

Institution B is currently engaged in a \$10 million capital campaign. The case statement makes a strong appeal to the business and corporate communities located in the institution's urban location to appreciate the mutual benefits which can accrue from support of the university. Industry supplies funds and education supplies leaders. Though the data is not available, it would be interesting to identify the percentage of Institution B's alumni serving in positions of leadership in the corporate/professional communities.

The task of coordinating the work of the president and the board of trustees by the chief development officer has been made

somewhat easier by the presence of a significant number of trustees with both the sensitivity and willingness to get involved in fund raising. A special subcommittee on corporate giving and the retention of a full-time staff member for corporate/foundation giving give an indication to an alert board on the subject of trustee involvement in solicitation.

The coordinating efforts of the chief development officer are strengthened by the involvement of the chief development officer in the process of trustee selection and orientation. The fact that development has this vital input suggests that development and the board have a positive working relationship.

Institution B has suggested that a goal is to locate more women and minority candidates for possible board selection. This seems obvious in light of the significant minority student population and the urban location. The traditional all-white male, upper class Protestant board would be not only inconsistent with the stated institutional commitment to minorities, but would cast doubt upon the lofty motives articulated in the case statement and would prove a costly discrepancy.

#### STAFFING

In the area of staffing Institution B points up two crucial facts in contemporary fund raising (a) the area of estate planning/deferred giving is becoming increasingly important; and (b) it is difficult to locate trained staff members with expertise in this area.

As larger dollar amounts are required, those not commonly



associated with the traditional alumni drives, fund raisers look to estate planning/deferred giving as a significant source for those larger dollar amounts. The area itself is a complex of tax laws, annuities, trust agreements, and other legal instruments. Current practice has led to the formation of alumni volunteer groups composed of attorneys who give free advice to their alma mater. The difficulty is that these lawyers and trust officers are ethically bound to be impartial in suggesting where a client directs his/her wealth. But until there is available trained staff members, volunteers will have to give substance and direction to the estate planning/deferred giving area.

#### LEADING

Institution B, like Institution A has a chief development officer both experienced and committed to his institution. The chief development officer at Institution B has twenty-five years in fund raising and eleven years at the institution. These years of service have hopefully provided stability without stagnation.

The chief development officer suggests that increasing leadership ability among the staff is accomplished by (a) their responsibility to apply MBO to their specific area; and (b) their responsibility to alternate in preparing the agenda for each staff meeting. It may be that generation of MBO goals and objectives is more useful in developing leadership capability than agenda preparation. But neither activity should be discouraged. Below the level of vice president, the remaining four staff members function in a peer

relationship. Considering the size of the staff, any further degree of hierarchial organization would seem superfluous.

The chief development officer at Institution B suggests to his staff that the pursuit of an advanced degree is not only a worthwhile goal in itself, but a basis for a favorable judgment at contract time. It does not seem unreasonable that administration at an institution of higher learning be "encouraged" to pursue graduate studies. This encouragement could inspire the undergraduate students and bolster graduate enrollments at many institutions!

### EVALUATING

MBO is the basis for the evaluative process at Institution B, with each staff member in each administrative unit responsible for the generation of goals and objectives.

MBO is a complex system to initiate and to maintain, and is usually long range (3-5 years) in administration. It requires substantial amounts of information for decision making and evaluating. It requires a fairly significant amount of EDP capability-- a capability Institution B does not possess. It seems reasonable to suggest that increased EDP capability would increase MBO effectiveness.

Institution B is in the evaluative mainstream with regard to fund raising. The department is ultimately judged by the number of solicitation calls made and the corresponding amount of funds raised. MBO is suited to this evaluative approach as what is evaluated is quantifiable and therefore measurable.

DEVELOPING

In terms of a financial commitment to staff development, Institution B is fairly typical. Tuition costs, membership/subscription dues, travel expenses are assumed wholly or in part by the institution. Again, the presence of large numbers of business/corporate representatives on the corporate board would suggest some awareness of the importance of investment in personnel resources.

Another example of commonality among institutions is the utilization of outside counsel in preparation of the capital campaign. Trends suggest that few boards are brave enough to go the "capital trail" alone-- that is without the high priced talent from outside.

INSTITUTION C

## Case Study Institution Analysis

### Institution C

#### PLANNING

Institution C is typical of the small private college which will face severe challenges to its survival in the decade ahead.

Institution C must compete with the urban university for students but without significantly changing its character or identity. The move to coeducation status can be interpreted as a radical shift in institutional identity and one of the few major growth options open to the institution.

It may be more difficult for coeducational institutions which were formerly women's institutions to attract men students than for traditional men's colleges to attract women students. The necessities of dormitory renovation and addition of athletic facilities, both accommodations to male students, are significant expenditures which Institution C must make and they become risky expenditures in light of enrollment projections at private colleges.

Another significant factor which affects the planning process at Institution C is the fact that almost half the gift income accrues from the contributed services of the religious faculty, administration, and staff. As large numbers of religious move toward retirement age without younger replacements, (due to a decrease in the membership in religious orders), the reliance upon contributed services for budget relief is high-risk factor.

## ORGANIZING

An expansion of the board of trustees, with the provision for two-thirds lay representation should assist the chief development officer in cultivating new sources of philanthropic support, exclusive of contributed services.

Currently Institution C is engaged in an \$8.2 million capital campaign. The crucial responsibility of coordinating the fund raising efforts of the president and the trustees is obvious. It is most likely that the success or failure of the capital campaign rests on the aforementioned concerted effort. And as an institution which derives almost eighty per cent of operating revenue from tuition/fees, Institution C cannot afford an unsuccessful capital campaign.

As with Institution B, the chief development officer at Institution C has input into the selection process of new trustees. Involvement at this level suggests a positive working relationship among development, trustees, and president. Anything less than a positive relationship could be extremely detrimental to the survival prospects of Institution C.

## STAFFING

The staff at Institution C is small--- four including the chief development officer. The newest addition, a specialist in governmental relations, was made as a reaction to the seemingly important aspect of governmental-institutional interaction. It is useful for any institution to monitor legislation and funding patterns from state and federal agencies.

As the awareness grows that corporate support is becoming increasingly important, Institution C plans to add a staff member in the area of corporate and foundation giving. It will be the responsibility of the chief development officer to convince the president and, more importantly the board, of the potential gift income return on this salary investment.

But any addition to the administrative staff of a private institution of higher education usually generates criticism from the faculty. Faculty members find it difficult to reconcile faculty cutbacks and minimal salary increases with additional expenditures for a growing administrative staff.

It seems more than likely that the strongest on-campus "public relations" challenge facing the development area is to justify fund raising costs as a legitimate and even vital expenditure. Faculty must be convinced that the viability of the institution, and likewise their jobs, are dependent in large measure upon the efforts of the development staff to generate non-tuition gift income.

The development staff cannot ignore the legitimate financial concerns of the faculty. Faculty must be educated as to the basic programs and benefits related to fund raising activities. There are numerous examples of faculty members who, after being informed of the fundamental nature of fund raising relative to institutional survival, were eager to volunteer their time and energies in support of the fund raising program.

## LEADING

The chief development officer at Institution C was hired because at a specific time in the history of the institution the officer's experience ideally satisfied an institutional need.

Before coming to Institution C, the chief development officer had successfully launched an annual fund campaign at another private college. The characteristics and challenges at the previous college were almost identical at Institution C. The chief development officer, after receiving an offer for a significant salary increase, accepted an offer to direct the fund raising activities at Institution C.

Timing and experience can be considered important elements in the leadership process. At a particular time an institution has need for someone with particular skills/experience. What occurred at Institution C is a practical application of leadership theory.

## EVALUATING

Institution C utilizes an institution-wide MBO system for purposes of evaluation. Typical of such a system is the responsibility of each administrator and/or staff member to generate goals and objectives for a particular area.

Goals and objectives relative to fund raising are usually expressed in terms of (a) publications to be generated; (b) solicitation calls to be made; and (c) dollars to be raised. As was mentioned earlier, MBO is reasonably suited for development work because outcome



can be quantified and thus evaluated. Ironically, the primary responsibility of the institution, educating students, does not lend itself to such a measurable quid pro quo. The sum total of a student's learning experience cannot be articulated on a financial report.

The board at Institution C mandated utilization of an outside consulting/evaluating team to determine the level of effectiveness of the development staff. According to the chief development officer the results were negligible. An evaluation program described by someone being evaluated as generating negligible results raises some interesting issues.

It may be that the evaluation team was not perceptive in its analysis of the development area. It may be that the chief development officer resentful of being evaluated by outsiders, demonstrated a defensive attitude during and after the evaluation. The development staff may have considered the entire process as useless expenditure of scarce funds.

Analysis of motivation is difficult to perform. The board may have been sincere in seeking outside judgments about the level of effectiveness of the development area. Or the board may have engaged its institution in a "fashionable exercise" of bringing in outside talent. The chief development officer may have been justified or unjustified in assuming a defensive posture. The fact is those being evaluated report negligible results. Anybody in a position of authority to mandate an outside evaluation should take heed to clarify intentions and thus communicate a positive expression or face the possibility of a negative reaction from the evaluatee.

DEVELOPING

Although Institution C has made a commitment to staff development, limited funds reduce the investment which can be made in such development.

When an institution can not remain competitive in salary and fringe benefit packages, it increases the likelihood of high turnover in faculty and staff. Entry level administrators are hired, remain a few years to gain professional experience, and then move on. The resultant instability can impede the progress of any institution in its pursuit of equilibrium in a period of uncertainty. Though it is interesting that the fluidity in the administrative job market, suggested by ads in the CHRONICLE OF HIGHER EDUCATION, does not seem to be echoed in the instructional job market. Those with faculty appointments seem less inclined to or are less able to leave their present positions.

A final word on development related to openness in communication. Again, there is evidence of a defensiveness on the part of the chief development officer. In this instance the board retained the services of outside council to assist in the launching of the capital campaign. The chief development officer did not agree with the trustees insistence that outside counsel was necessary.

The board and the chief development officer must, for the sake of a successful fund raising program, achieve a harmonious working relationship. Dissonance in attitude or performance can only result in less than a successful effort.

Before outside consultation is secured the board should

discuss with the chief development officer the justification for such an expenditure. In the event that difficulties do exist, opportunities for discussion and improvement should be provided both parties. Both money and morale can be saved. Trust and open channels of communication are crucial to the success of any enterprise, especially one as complex as a private college.

INSTITUTION D

## Case Study Institutional Analysis

### Institution D

#### PLANNING

Institution D, located in a major urban center, has maintained an image as an elite institution. It has sustained a steady increase in undergraduate enrollment, though enrollment in education programs for the M.Ed and M.A.T. has declined recently in accordance with national trends. The urban location and a reputation as a quality institution should provide a defense against the economic and enrollment challenges of the coming decade.

The development area is excluded from membership on the president's planning council and does not have direct access to the development committee of the board of trustees. It is possible that although there is a chief development officer with the rank of vice president, the real power in the development area is located in the president's office. This is not untypical of colleges founded and conducted by religious congregations. Many times the chief administrator and the religious superior at an institution are one and the same person. Consequently, significant authority and public image are centered upon the president.

At Institution D, the chief development officer is a member of the religious congregation and was lifted from the ranks of the faculty to engage in development work in a progression from alumni director to vice president for development and public relations.

The incumbent development officer may have been regarded highly by the alumni, faculty, and other constituencies to the point of being selected to occupy a highly sensitive image position at the institution.

It seems obvious from the chief development officer's comments that his responsibility for planning does not transcend the development office, as he is excluded from the highest echelons of institutional planning.

#### ORGANIZING

Though the chief development officer coordinates the fund raising program in many aspects, the efforts at generating major gifts are the responsibility of the president and the board. The vice president is not an ex officio member of the development committee and does not report directly to this committee but reports to the president in matters of development. In terms of current practice, this exclusion from committee membership, even in a non-voting capacity, is fairly typical. At Institution D, it seems that development is ultimately the responsibility of the president.

Currently, Institution D is engaged in a capital campaign. Leadership for the campaign is being provided by the board, with the assistance of outside counsel. This situation again suggests a reduced position of influence for the chief development officer.

#### STAFFING

The development staff at Institution D includes the chief development officer plus eight staff members. The number of staff is unusually large for an institution this size.

Though the ultimate responsibility for development seems to be located in the president and board, the institution has made a significant commitment to upgrading the fund raising program. Staff additions have been made in deferred giving, corporate/foundation gifts, and special gifts. This last position assigned as a special assistant to the president and, therefore, is not under the responsibility of the chief development officer.

Much of the clerical and research duties relative to gift income are performed by student service workers. Other than being an inexpensive source of labor, this student presence does promote a better understanding of the importance of fund raising by students, parents, and alumni, who were once student service workers in the development office.

#### LEADING

The fund raising background of the incumbent vice president is limited to service at Institution D. As was previously mentioned, the chief development officer was recruited from the instructional staff. Though not to suggest in any way that the incumbent is ill-suited for the position, it is not unreasonable to suggest that years of service to a religious congregation coupled with a reputation as a superior instructor had more to do with the appointment of the chief development officer than his fund raising experience.

Again, this situation may suggest that a combination of symbolic and situational approaches to leadership can be valid. A person is selected for a position of leadership because he is available

and in possession of the necessary credibility, regardless of interest, intellect, or training.

### EVALUATING

There seems to be nothing unique about the approach utilized by Institution D in the evaluative process. As in the case of Institutions B and C, Institution D makes a functional application of MBO.

The organizational structure of the development area at Institution D does include three directors below the vice president, thus providing another stage of evaluation. Presumably staff members present their goals to a particular director and are evaluated on the level of achievement of these goals. The next level of evaluation would then probably include interaction between the directors and the vice president. This organizational structure, described as tall by the authorities, could promote the utilization of formal channels of communication/evaluation in comparison with those institutions with a smaller development staff and a flat structure.

Conceivably this hierarchy continues from the vice president, to president, to the board. A formal approach is suggested by the fact that the vice president, in not having direct access to the board, communicates to the board via the president.

But prescinding from structure, an MBO system of evaluation for development provides a quid pro quo process based upon solicitation planned and dollars received.



Considering the size of the development staff at Institution D, it can be assumed that the chief development officer can not spend as much time with each staff member as could a chief development officer with a smaller staff. Support and constructive criticism probably comes from the director to the staff member.

The chief development officer reports a positive experience with outside consultants. The evaluation resulted in a realignment of functions and a more efficient utilization of staff. It may be possible to assume that discussions regarding the necessity for outside evaluation were held prior to the selection of outside counsel. If a positive atmosphere was created, with input from board and development areas, greater effectiveness and heightened morale could have resulted. Personal and professional development of staff members and administrative areas can result from a decision making approach characterized by mutual concern, open-mindedness, and mutual respect among the participants.

The chief development officer suggests that the turnover rate of staff in development is low. Maybe the hierarchical approach to fund raising at Institution D, with the president assuming greater responsibility than the vice president, is uniquely effective and should not be compared with other approaches better suited to different institutions. It might be useful not to tamper with a successful approach-- as long as it remains successful!

INSTITUTION E

## Case Study Institution Analysis

### Institution E

#### PLANNING

Institution E seems poised to meet the challenges of the coming decade. The institution enjoys a reputation for academic excellence, a location which combines scenic beauty with proximity to an urban center, and a successful fund raising program.

The chief development officer serves as a member of the president's planning council and is thus considered a full partner in the planning process. In addition, there is an extremely high degree of cooperation between the board and the chief development officer relative to the fund raising activities. This cooperation is evidenced by (a) ex officio membership of the chief development officer on the development committee; (b) a shared approach in the planning work for fund raising; and (c) assistance in research of potential donors supplied by trustees. The total membership of the board at Institution E is relatively small by most standards. But an involved membership of limited numbers is preferable to an extensive board of uncommitted figureheads.

#### ORGANIZING

Coordination of efforts for all fund raising activities is the responsibility of the chief development officer. He must supervise the research for prospects, assign the appropriate staffer/volunteer for the solicitation, and assume responsibility for whatever follow-up

may be necessary. In an institution the size of E, with the typical staff, the chief development officer usually assumes the coordinating responsibility. And as the staff is small, communication can be frequent and informal.

A great deal of attention has been given to the importance of trustee involvement in fund raising. It seems that the prevailing situation at Institution E can be characterized by active trustee involvement. But another consideration is the size of the board and the benefits which accrue from expansion relative to quantity and quality.

Institution E should probably triple the size of its present board of nine. What is needed is greater representation from diverse groups, especially from the business and corporate communities. It can be assumed that the initiation of a capital campaign, not yet underway and long over due, must be preceded by attraction to board membership of a number of individuals with some combination of giving potential and fund raising experience.

#### STAFFING

If special gifts, deferred giving, government relations, and corporate/foundation giving are becoming important sources of non-tuition support, Institution E would need to consider making staff additions in one or all of these areas. The chief development officer can not hope to develop expertise in all these areas, nor can the board compensate for what is obviously an understaffed development area.

The aforementioned reference to staff additions relates to

numbers necessary for effective fund raising. But another consideration is background of staff members. Institution E has recently hired only alumni to serve as alumni director and has given priority status to recent grads as job candidates. While familiarity with an institution can be a plus factor in the screening process, consideration to a more heterogenous staff should be given. Candidates from other institutions and from different parts of the country should be encouraged to apply for staff positions. Institution E should develop the reputation of hiring the most qualified regardless of the alma mater of the candidate, all things being equal. Institutional inbreeding in hiring can reduce the vision required to maintain a contemporary and effective program in any area, including but not limited to fund raising.

#### LEADING

The incumbent director at Institution E has spent seven years in fund raising, all of them at Institution E. He was recruited from the ranks of the faculty and is a member of the religious congregation which founded the college.

As the fund raising achievements of Institution E seem reasonably substantial, it may be that the chief development officer, regardless of background has grown into the position and functioned effectively.

As the staff is small, there is the possibility that leadership opportunities can be provided each staff member. And communication should be easy and informal relative to the size of the staff and the opportunities for interaction. The chief development officer

at Institution E should offer as much support and information as possible in exercising leadership of such a small staff.

#### EVALUATING

MBO was mandated by the board at Institution E. This decision may have resulted from a non-growth pattern evidenced by a "stable enrollment." As there is no director of institutional planning/research to serve as a channel for departmental goals, each line administrator must develop his goals, individually present them to the president/board, and be evaluated on the degree of congruence between intent and result.

Accompanying the initiation of a MBO system was the retention by the board of an outside consultant. Subsequent to their evaluation report, a change in chief development officers was made. It is possible that the former director could not or would not function under a MBO system. Or it is possible that the evaluation report uncovered other sources of ineffectiveness in fund raising which might have led to the change in directors. But what is fairly certain is that the board determined it was time to seek outside counsel for purposes of objective input relative to fund raising and that the board exercised its authority to make a change in development directors. The man selected for the position was a known quantity, functioning as alumni director and before that as a member of the instructional staff. The board may have either placed a premium on familiarity with the institution as central to its hiring decision or felt constrained not to meet the salary requirements of an outside candidate.

DEVELOPING

The size of the staff does promote interaction between members and between staff members, and the director. Opportunities for job enrichment are likely to occur. But a limitation in the funds available for professional growth of staff members could precipitate dissatisfaction and turnover among staff members.

An institution of the size of E is probably not at the top of the salary schedule for development departments. If salary can not remain competitive, and if professional expenses are not underwritten, high quality staff members will leave. Their replacements may not be of equal caliber.

The board of trustees must meet the challenge head on that few professionals in any enterprise have interest in or can afford to function for strictly humanitarian reasons.

Though a private college is maintained as a non-profit enterprise, it does not follow that the college is immune from the economic pressures of the market place. High caliber development practitioners are paid a lot of money. But high caliber development practitioners raise a lot of money.

Chapter IV has been concerned with a two-level approach to an analysis of fund raising data.

The first approach was based upon a comparison of fund raising principles articulated by experts in the field with current practice reported by sixty-seven chief development officers from private colleges and universities located in all sections of the United States.

To complement the broader survey of the first approach, an analysis of five case study institutions based upon their individual application of fund raising principles was provided. Emphasis was given to the qualities, challenges, and conditions unique at each institution. The five case study institutions, selected from outside the original sample population, represent a diversity within the private higher educational enterprise. And the success or failure of their fund raising programs may provide a commentary on the future of private colleges and universities in the United States.



## CHAPTER V

### SUMMARY, CONCLUSIONS, RECOMMENDATIONS

#### Summary

The purpose of this study is to analyze the role of the development officer, i.e., the designated administrator responsible for fund raising at a particular institution of higher learning, as that role relates to six administrative functions identified by Benjamin E. Sprunger as (1) planning; (2) organizing; (3) staffing; (4) leading; (5) evaluating; and (6) developing.

The study was guided by the following major questions:

1. What do the authorities say are appropriate activities of the development officer as related to the aforementioned administrative functions:
2. What are the current practices of the development officer in relation to the aforementioned administrative functions?

In order to discuss the role and attendant activities of the contemporary development officer, a context from which such a discussion could emanate had to be developed.

Earlier chapters of this study have attempted to (1) present an historical overview of philanthropy in American higher education, with a decided emphasis upon private higher education and (2) trace the evolutionary process in higher educational administration cul-

minating in the designation of the development officer as responsible for the fund raising program at a particular institution.

The literature suggests that philanthropy has always been a fundamental element in the viability of higher education in the United States. From the earliest private colonial colleges to the modern state universities, financial support other than tuition/fees has been sought from a variety of private sources. And theorists and practitioners agree that the development officer currently possesses responsibility for achieving this financial support.

There is ample evidence in both historical documents and current practice to maintain that the existence of fund raising programs under the direction of a particular administrator can be traced to (1) progressively higher costs and (2) increasingly specialized administration.

In an attempt to provide an up-to-date commentary on the "state of the art" relative to fund raising, one hundred and five chief development officers were contacted and asked to participate in a questionnaire/interview procedure. As the emphasis of the study was to be directed toward private higher education, the decision was made to select development officers serving at institutions which (1) are private and/or sectarian in governance; (2) based upon the liberal arts curricular tradition; and (3) function at the four year college or university level.

A questionnaire instrument was developed to determine the degree of congruence between fund raising principles suggested by

theorists and fund raising activities generated by practitioners. The basic format of the questionnaire instrument consisted in dividing the instrument into six sections, each corresponding to one of the administrative functions articulated in the original Sprunger model developed in 1978 for Council for the Advancement of Small Colleges. The original sample included one hundred private institutions of higher learning. Sixty-seven completed questionnaires were returned.

To complement the data retrieved from the questionnaires, indepth personal interviews were conducted with five chief development officers from institutions adhering to the stated criteria though outside the original sample. A combination of questionnaire and interview data serves as the basis for this study.

### Conclusions

This study led to conclusions related to the specific purpose as stated in the first chapter and reiterated in the final chapter. Specific conclusions reached in this study relative to the role of the chief development officer as administrator in particular and to the implications for private higher education in general are presented.

### Planning

1. The institutions participating in this study give evidence that long range planning has become an adopted procedure in the administration of private higher education. Seventy-two per cent of the respondents report that an institution-wide system of long range planning is utilized at their institution. To support the planning process, there is an eighty-eight per cent positive response to the utilization

of EDP to monitor the financial aspects of the institution's program. Furthermore, sixty per cent of respondents report that their institution employs a Director of Institutional Research for long range planning. The commitment of personnel and financial resources to long range planning evidences the importance of such planning by those charged with responsibility for the future of private higher education.

2. The institutions participating in this study give evidence that fund raising has become a crucial element in the overall planning process. Seventy-two per cent of the respondents report participation in the long range planning process at their institution. The office charged with fund raising can no longer be considered an appendage to the administrative structure utilized in decision making. The inclusion of the chief development officer into the highest administrative echelons gives evidence to support the notion that fund raising is crucial to institutional survival and that the chief development officer is functioning in a peer relationship with other top administrators. In terms of the hierarchy, fund raising is on a par with academics, finance, and student affairs.
3. The institutions participating in this study give evidence that the board of trustees plays a central role in the planning of the fund raising activities. Eighty-seven

per cent of the respondents report that the board of trustees participate in the planning of fund raising goals and activities. No longer are trustees merely called upon to serve in a ceremonial capacity. Trustees are strongly urged to participate in developing fund raising goals and in making solicitation calls. Participation of the board in fund raising is further evidenced by the fact that seventy-five per cent of the respondents report that they report regularly and directly to a development committee of the board. The existence of such a committee and the aforementioned reporting procedure strongly evidences the role of the board of trustees in the fund raising program.

4. The institutions participating in this study give evidence that planning in fund raising is the result of a democratic process within the development area. One hundred per cent of the respondents report participation by staff subordinates in the planning of the fund raising program. As fund raising becomes more complex and staff members more professional, the chief development officer looks to his staff for input in generating the goals and objectives relative to securing gift income.

#### Organizing

5. The institutions participating in this study give evidence that the chief development officer is charged with ultimate responsibility for coordinating the total fund raising

program. Eighty-eight per cent of the respondents report that they are responsible for coordinating all fund raising activities, especially the efforts of the president and board members in the solicitation of gift income. This coordinating function has resulted from an historical/evolutionary shift in fund raising responsibility from president, to trustees, to development officer. Such a shift is recorded in the literature associated with philanthropy in higher education.

6. The institutions participating in this study give evidence that the coordination of trustee involvement in fund raising includes some seemingly contradictory elements. Relative to the importance of trustee participation in fund raising based upon knowledgeable expectations, there is a tremendous disparity between the attention given to orientation and in-service programs. Knowledgeable and effective participation by trustees is based upon information about the goals and activities of the institution. Trustees, from selection through incumbency, should be aware of their responsibilities as fund raisers and should be given the necessary data from which to function. Though eighty-eight per cent of the institutions provide an orientation program for new trustees, only thirty-seven per cent provide in-service programs for incumbent trustees. Once brought aboard, trustees are left pretty much to

themselves in obtaining the necessary data to support effective participation in the fund raising program. Furthermore, though the importance of trustee involvement in fund raising is regarded by theorists and practitioners as crucial, only thirty-seven per cent of the respondents report board expansion based upon size and quality of membership. This response can be compared with the fact that eighty-eight per cent of the boards are self-perpetuating. If more dynamic and knowledgeable trustees are to be recruited, institutions may require a review of present procedures relative to board composition and trustee selection. This review may result in trustee membership characterized by representation from a greater variety of ethnic, income, educational, and professional backgrounds.

#### Staffing

7. The institutions participating in this study give evidence that staffing patterns are consistent with trends toward greater specialization in fund raising. Historically, fund raising in higher education was divided into the traditional categories of alumni funds and capital campaigns. Development practitioners looked to the basic constituency, the alumni, for both kinds of support. Today, gift income emanates from not only from different kinds of support, but from different kinds of constituencies. Alumni

and capital funds have been complemented by special gifts, deferred giving, estate planning, government funds, and corporate/foundation support. Development directors report percentages such as sixty, fifty-eight, and seventy-nine in response to hiring staff members with the capability to generate support from the diversity of fund sources. These staffing patterns evidence a greater complexity in fund raising and a greater specialization required by practitioners.

8. The institutions participating in this study give evidence that responsibility for locating and hiring job candidates resides almost exclusively within the development area. Only twenty-two per cent of the chief development officers have utilized the services of outside recruitment firms and only twenty-five per cent do not have responsibility for hiring staff members. Though ultimate approval is subject to presidential decision, the chief development officer is considered the most knowledgeable about the staffing needs in his area.
9. The institutions participating in this study give evidence that fund raising is a definite source of job opportunities for recent college graduates. Seventy-two per cent of the respondents report hiring entry level staff members. There is no evidence that a degree in a given academic discipline automatically leads to or precludes from employment in fund



raising. The responding directors report educational backgrounds in most disciplines associated with the liberal arts. As young people question the liberal arts degree as a preparation for a financially rewarding career, this study suggests that fund raising is a viable career option for liberal arts graduates.

10. The institutions participating in this study give evidence that professional advancement as a development staff practitioner is commonplace. Ninety-four per cent of the respondents report that they prefer to promote staff members for increased responsibility rather than hire outside the organization. Again, it should be encouraging to liberal arts graduates that entry-level positions in fund raising can lead to more responsible and lucrative positions within a development staff.

#### Leading

11. The institutions participating in this study give evidence that leadership is exercised in a democratic fashion. The exercise of leadership occurs through the efforts of all staff members, not just the chief development officer. Ninety-six per cent of the chief development officers hold regularly scheduled staff meetings. Staff members are encouraged to participate through report presentation and agenda preparation. There is evidence that chief development officers recognize both the level of professionalism

attained by staff members and the level of cooperation necessary for the achievement of fund raising goals.

12. The institutions participating in this study give evidence that communication is fundamental to leadership. Communication, through formal and informal channels, is recognized as crucial by one hundred per cent of the respondents. Open lines of communication among peers and between superiors and subordinates is highly valued by development officers. Certainly an area as complex and vital as fund raising must be characterized by highly developed patterns of communication and social interaction.
13. The institutions participating in this study give evidence that staff members are encouraged to develop their own leadership potential. Eighty-two per cent of the respondents report that staff members are provided with increased professional responsibility through job enrichment. Staff members are thus encouraged to exercise leadership through the assumption of greater degrees of responsibility associated with their fund raising duties.

#### Evaluating

14. The institutions participating in this study give evidence that management evaluation techniques such as MBO or MBO/R are becoming increasingly operative at private colleges and universities. Almost half the respondents report the adoption of MBO or some variation as central to the eval-

uative process. This adoption would be consistent with at least two factors (1) an increasingly stronger call for accountability by the various institutional constituencies; and (2) the growing influence of administrators and trustees experienced in the application of management tools to the educational enterprise. "Accountability," "responsibility," and "Bottom Line" are words frequently associated with the evaluation process regardless of the nature or product of the enterprise. And though the educational enterprise is non-profit and was formerly considered sacrosanct and thus immune from intrusions of the market place, the financial and demographic realities of the 1970's and 1980's might require the utilization of appropriate management tools and techniques. Subsumed under this conclusion would be a process to (1) develop a case statement which communicates the philosophy and goals of the institution; and (2) engage in an evaluative program which measures the effectiveness of activities relative to achievement of stated goals. The aforementioned process would most certainly encourage institutions to formulate overall goals capable of some form of quantification. Fund raising lends itself especially well to this form of quantification. It is relatively simple to compare solicitation planned with dollars received.

## Developing

15. The institutions participating in this study give evidence that institutional development relative to fund raising is based almost exclusively upon a commitment to the development of each staff member. The responses of the development officers make clear that the measure of the institution's commitment to staff development is made through the allocation of financial and physical resources, as well as personal support, in the form of the individual's growth. The process of staff development begins with orientation, with an eighty-seven per cent positive response to a formal orientation program for new staff members. Throughout the incumbency of staff members the institution's attempt to provide opportunities and financial benefits for travel, professional associations, and additional formal education-- (97%), (96%), and (96%) were reported as positive responses. These percentages evidence a recognition that expenditures for the personal and professional growth of staff members may be in reality an investment in the future of the institution. And though an institution of higher learning includes buildings and scientific apparatus, the dynamic force fundamental to survival is people. Institutions utilize many indices to measure success, such as enrollment figures, endowment reports, and construction projects. A most important index

of success is the institution's commitment to staff development measured in terms of the allocation of physical and financial resources. Those institutions which can not or will not make such a commitment may place the survival of the institution in real jeopardy.

### Recommendations

As a result of this study, several recommendations are presented to practioners in the fund raising programs associated with private higher education:

1. Encourage those responsible for the ultimate governance of the institution that not only is fund raising a crucial element in any planning model, but that successful planning requires the requisition of sophisticated data gathering and disseminating capability.
2. Encourage those responsible for the ultimate governance of the institution that as fund raising becomes not only more crucial but more expensive, the institution must allocate whatever financial and physical resources are necessary to locate and maintain an effective fund raising staff.
3. Encourage those responsible for the ultimate governance of the institution that evaluation is an integrative process which includes a set of quantifiable goals and a set of measurement tools. Those who are to be evaluated should have the authority to perform in light of such expectations.

4. Encourage those responsible for the ultimate governance of the institution to communicate clearly and directly with the various institutional constituencies as to the scope and the necessity of fund raising and the particular role each constituency plays in a successful fund raising effort.

#### Recommendations For Further Study

During the course of this study several points emerged as germane to the study of fund raising in private higher education which could not be sufficiently addressed within the parameters of this study:

1. Further study should be done to determine, on the basis of cost-benefit analysis, the amount of money spent on fund raising programs and the amount of money raised by fund raising programs.
2. Further study should be done to analyze board activity and board expansion relative to fund raising in terms of solicitation calls made and gift dollars provided.
3. Further study should be done to determine what kind, if any, of educational programs are provided for entry level staffers or experienced professionals in the field of fund raising for higher education; suggestions for undergraduate and graduate level course work might result from such a study.
4. Further study should be done to analyze the job market for

chief development officers in terms of skills/experience required and salary offered; trends relative to training, status, and mobility of chief development officers could be discerned.

5. Further study should be done to compare the fund raising activities of chief development officers at private and public institutions of higher learning; similarities and differences could be analyzed and implications for administration could be discerned.

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APPENDIX A

QUESTIONNAIRE LETTER

AND

CASE STUDY REQUEST LETTER

Dear

I am a candidate for the Ph.D. in the Administration of Higher Education. My dissertation research focuses upon fund raising in private higher education.

Enclosed please find a questionnaire which I have developed to study the role of the chief development officer as administrator. I would appreciate your completing the questionnaire and returning it to me along with copies of your organizational chart-- the job descriptions of the development staff.

All responses will be kept confidential and the name of your institution will remain anonymous.

Thank you for your interest in my doctoral studies.

Sincerely,

Louis S. Coloia, Jr.  
Research Assistant  
Department of Administration/Supervision

NAME \_\_\_\_\_ DATE \_\_\_\_\_

NAME OF INSTITUTION \_\_\_\_\_

LOCATION OF INSTITUTION \_\_\_\_\_

YOUR TITLE/POSITION \_\_\_\_\_

HIGHEST ACADEMIC DEGREE EARNED \_\_\_\_\_

YEARS IN PRESENT POSITION \_\_\_\_\_

NAME & TITLE OF IMMEDIATE SUPERIOR \_\_\_\_\_

## PLANNING

1. Does your institution utilize an institution-wide system of long range planning?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

2. Do your responsibilities include participation in the long range planning process?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

3. Are you ultimately responsible for the planning in your area?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

4. Are you responsible for budget preparation in your area?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

5. Does your institution's information system provide monthly expenditure reports?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

6. Do you function with line authority?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:



7. Do you report regularly to a committee of the board of trustees?

\_\_\_\_\_ yes  
\_\_\_\_\_ no

Comments:

8. Do your subordinates participate in the planning process in your area?

\_\_\_\_\_ yes  
\_\_\_\_\_ no

Comments:

9. Have you modified the goals in your area to meet the current trends in giving programs in higher education?

\_\_\_\_\_ yes  
\_\_\_\_\_ no

Comments:

10. Are you responsible for the "market research" of potential donors?

\_\_\_\_\_ yes  
\_\_\_\_\_ no

Comments:

11. Does your institution employ a director of institutional research for long-range planning?

\_\_\_\_\_ yes  
\_\_\_\_\_ no

Comments:

12. Does the board of trustees participate in the planning of goals and objectives in your area?

\_\_\_\_\_ yes  
\_\_\_\_\_ no

Comments:

## ORGANIZING

1. Is each of your subordinates responsible for a specific portion of the fund raising program?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

2. Do you make additions to your staff in response to specialization in fund raising responsibilities?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

3. Is the present organizational structure of your institution consistent with the mission and goals of the institution?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

4. Does the organizational structure provide distinct systems for policy development and policy implementation, i.e., for governance and administration?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

5. Do you provide clear lines of accountability and provide sufficient authority for your staff members to carry out their assigned tasks?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

6. Does the committee structure of the board of trustees provide for a development committee?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

7. Are you an ex officio member of the development committee?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

8. Are you responsible for coordinating the fund raising activities of the president and trustees in the solicitation of major gifts?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

9. Has board membership been expanded recently both in numbers and in professional background of individual trustees?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

10. Is the board of trustees self-perpetuating or are members elected by various institutional constituencies?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

11. Does board membership include student representation?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

12. Are trustee meetings open to the public?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

13. Does the institution provide orientation for new board members?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

14. Does the institution provide in-service programs for incumbent trustees?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

15. Are you responsible for generating position descriptions for your staff members?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

## STAFFING

1. Is educational background a criterion you utilize in staff selection?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

2. Do you prefer to promote from within for staff positions of increased responsibility?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

3. Does your staff include student workers who perform clerical and/or research duties?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

4. Is alumni status a prerequisite for the position of alumni director at your institution?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

5. Does your present position represent a promotion from within?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

6. Have you recently utilized the services of a professional recruiting firm to locate and screen job candidates?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

7. Do you have sole responsibility for hiring staff members?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

8. Does your staff have the opportunity to interview job candidates?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

9. Do you hire entry-level staff members?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

10. Have you made additions to your staff in the following areas:

a. special gifts	_____ yes	_____ no	
b. deferred giving	_____ yes	_____ no	
c. government relations	_____ yes	_____ no	
d. corporate/foundations gifts	_____ yes	_____ no	

## LEADING

1. Was your educational background a criterion utilized in your selection for your present position?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

2. Do you hold regularly-scheduled staff meetings?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

3. Are all your subordinates functioning in a peer relationship?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

4. Does your area provide both formal and informal channels of communication?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

5. Do you provide staff members with increased responsibility through job enrichment?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

## EVALUATING

1. Does your institution utilize an evaluation system such as MBO/R, (Management by Objectives/Results)?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

2. Do your staff members sustain a regularly-scheduled formal evaluation?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

3. Has your staff ever been evaluated by an outside consulting firm?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

4. Are you formally evaluated by your superior?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

5. Do your staff members have the opportunity to evaluate you?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:



## DEVELOPING

1. Do you provide new staff members with an orientation program?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

2. Do you provide expense-paid opportunities for staff members to attend professional conferences, meetings, etc.?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

3. Do your staff members receive paid subscriptions/membership dues to professional organizations?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

4. Has your institution recently been through an accreditation review?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

5. Has your institution recently, (or ever), been engaged in a program of organizational development for administration and/or faculty?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

6. Does the institution provide payment or reimbursement for educational expenses of staff members in your area?

\_\_\_\_\_ yes

\_\_\_\_\_ no

Comments:

Dear Development Officer:

I am writing to ask if you would be willing to allow me to undertake a case study of your administrative approach in fund raising.

My purpose in undertaking the study is not to evaluate the quality of your program nor to accept or reject your program as a model for other development programs. Rather, I intend to look at your administrative approach in terms of six functions: (1) planning; (2) organizing; (3) staffing; (4) leading; (5) evaluating; and (6) developing.

I intend to examine the role of the development officer at selected institutions of higher education to determine trends in the administration of fund raising programs.

I ask that you complete the enclosed questionnaire. After you have returned the questionnaire to me, I will make an appointment to meet with you for a follow-up interview which should take no longer than one hour. The responses to the questionnaire and responses to questions in the interview will be held in confidence and the name of your institution will remain anonymous.

In order to complete the case study analysis, I ask that you provide me with the following: (1) a copy of your institution's organizational chart; (2) a copy of your job description and the job descriptions of each member of your staff; and (3) a copy of your institution's bulletin or other related historical documents.

Thank you for your interest and cooperation in my doctoral dissertation.

Sincerely yours,

Louis S. Coloia, Jr.  
Loyola University of Chicago  
Department of Administration/Supervision

APPENDIX B

EDUCATIONAL BACKGROUND AND DEGREE  
DISTRIBUTION OF CHIEF DEVELOPMENT OFFICERS

## Academic Degree Frequency

Ed.D - 1

BA - 21

AB - 5

BS - 11

MA - 13

MBA - 8

MPA - 1

Ph.D - 1

MAT - 2

MS - 3

MSW - 1

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<u>Respondent #</u>	<u>Highest Academic Degrees</u>	<u>Year's Incumbency</u>
1	MDA	8
2	MA	5
3	MA	5
4	MA	2
5	BA	2
6	BA	3
7	AB	10
8	BA	19
9	Ed.D	6
10	MA	4
11	MPA	8
12	Ph.D	14
13	MBA	1
14	MAT	2
15	BA	2
16	AB	3
17	MBA	1
18	BA	3
19	BA	21
20	MS	11
21	BS	2
22	MA	3
23	AB	4
24	BA	3
25	BA	4
26	BS	5
27	MS	2
28	AB	2
29	MBA	2
30	MA	4
31	BA	4
32	BS	2
33	BA	3
34	MAT	2
35	MBA	3
36	MA	4
37	BA	2
38	BS	3
39	BS	1
40	AB	2
41	MA	3
42	MBA	4
43	BA	2
44	BS	3
45	BA	5
46	BA	1
47	MA	3
48	MBA	4
49	MA	5
50	BS	6
51	BS	3
52	BA	2
53	BA	2
54	MBA	1
55	MA	4
56	BA	3
57	BA	3
58	BA	4
59	BS	1
60	MA	6
61	BA	3
62	BS	4
63	MA	3
64	MS	2
65	MSW	1
66	BA	4
67	BS	6

Average years - 4.7914 as incumbent in present position

## APPENDIX C

### SOURCES AND LEVELS OF PHILANTHROPY FOR HIGHER EDUCATION

## GIFT TABLES FOR THE CAPITAL CAMPAIGNS OF PRINCETON AND HARVARD

*\$53,000,000 for Princeton University:*

Projection of gifts needed from all sources to attain goal and actual results

Size of gift	Needed		Received	
	Approximate no. donors	Approximate amount	No. donors	Amount
\$1,000,000 and over	10	\$15,000,000	9	\$16,165,396
100,000 and over	100	13,000,000	107	24,543,879
10,000 and over	500	10,000,000	429	19,723,475
1,000 and over	3,000	7,000,000	3,208	6,887,880
Under 1,000	17,000	3,000,000	14,102	2,391,237
<b>Total</b>	<b>20,610</b>	<b>\$53,000,000</b>	<b>17,925</b>	<b>\$60,711,867</b>

*Program for Harvard College:*

\$10,000,000 and up	1	\$10,000,000	None	None
5,000,000-9,999,999	2	12,000,000	None	None
1,000,000-4,999,999	7	10,000,000	15	\$30,127,169
100,000- 999,999	110	29,000,000	115	27,144,552
50,000- 99,999	100	5,000,000	45	2,867,100
10,000- 49,999	500	9,000,000	537	9,704,376
5,000- 9,999	400	3,000,000	519	3,119,944
1,000- 4,999	1,500	2,000,000	3,408	5,743,472
Less than 1,000	20,000	2,500,000	23,124	3,814,105
<b>Group-gift donors</b>			<b>3,933</b>	<b>255,086</b>
<b>Total</b>	<b>22,620</b>	<b>\$52,500,000</b>	<b>31,696</b>	<b>\$82,775,554</b>

**Large Bequests—1978****Donor/Amount/Recipient**

John MacArthur—Assets valued at \$1 billion in name of  
*Mr. & Mrs. MacArthur and Retirement Research Foundation*

Mr. & Mrs. Percy Kierstede Hudson—\$12 million to  
*Columbia University*

C. Paul Stocker—\$7.5 million to  
*Ohio University*

Clifton Bethany Powell—\$6 million to  
*Howard University*

Anonymous—\$5 million to  
*Cornell University*

Mrs. Edward R. Tucker—\$4 million to  
*Matchless School*

Va Lois Ebert—\$3.6 million to  
*University of Utah*

G. Ellsworth Huggins—\$2.5 million to  
*University of Missouri*

Elizabeth May Beal—\$1.7 million to  
*Montefiore Hospital (Pittsburgh)*

Carroll T. Brown—\$1.5 million to  
*University of Iowa*

Mr. & Mrs. Robert Wagstaff—\$1.5 million in common stock to  
*West Missouri's St. Luke's Hospital*

Florence Machen Bayley—\$1.3 million to  
*Kirkville College of Osteopathic Medicine*

Lottie Cook—\$1.3 million to  
*Millikin University*

John H. Feesitt—\$1.2 million to  
*University of Pennsylvania*

William E. Haren—\$1.2 million to  
*St. Louis University*

Helen D. Newcomb—\$1.1 million to  
*Case Western Reserve University*

Mr. & Mrs. Newman F. McKinney—\$1 million to  
*Bucknell University*

R. D. Keen—\$1 million to  
*University of Florida*

Ruby Howell Owens—\$1 million to  
*Northwestern University*

Estelle Post McCormick—\$1 million to  
*Tusculum College*

Webster Atwell—\$1 million to  
*Williams College*



## Some Leading U.S. Private Foundations Ranked by Payment of Grants ('000)

Foundations	1977 Grant Payments	1978 Grant Payments	Assets At Year-End (Market Value)	Estimated 1978 Federal Excise Tax Liability
Ford Foundation	\$136,785	\$132,311	\$ 2,291,480	\$ 3,000
The Robert Wood Johnson Foundation	29,190	44,776	862,962	674
The Andrew W. Mellon Foundation	40,699	42,681	705,396	984
The Rockefeller Foundation	44,189	42,535	753,911	858
W.K. Kellogg Foundation	38,115	41,656	827,223	1,796
Pew Memorial Trust	28,803	35,891	604,928	1,272
Charles Steward Mott Foundation	21,969	28,453	396,427	570
The Duke Endowment	24,840	28,426	385,047	610
The Kresge Foundation	29,968	25,269	586,802	671
Lilly Endowment, Inc.	31,726	21,041	653,368	469
Rockefeller Brothers Fund	16,970	19,811	172,614	215*
Alfred P. Sloan Foundation	14,008	13,437	244,500	317
Carnegie Corporation of New York	13,361	13,096	284,799	329
Houston Endowment Inc.	12,561	12,398	254,500*	310
The Edna McConnell Clark Foundation	9,204	10,650	192,000	230
Richard King Mellon Foundation	7,697	9,400	237,318	343
The Bush Foundation	9,879	8,523	197,828	223
The James Irvine Foundation	3,996	7,389	191,907	402**
The Commonwealth Fund	5,369	6,885	124,193	312
The Robert A. Welch Foundation	6,698	6,881	123,210	361
Surdna Foundation	6,597	6,597***	97,095***	126***
The Henry J. Kaiser Family Foundation	4,141	6,465	181,175	183
Amon G. Carter Foundation	3,939	6,223	106,282	340
The Vincent Astor Foundation	5,166	6,081	55,647	65
William Penn Foundation	5,925	6,018	56,977	66
Max C. Fleischmann Foundation	7,315	5,941	95,493	216
The Charles A. Dana Foundation, Inc.	4,387	5,883	101,916	110
Charles F. Kettering Foundation	5,554	5,445	72,607	166
Sarah Scaife Foundation	4,629	5,606	77,614	101
Frank E. Gannett Newspaper Foundation, Inc.	5,666	5,069	170,410	121
Northwest Area Foundation	5,520	5,051	110,000*	165*
John Simon Guggenheim Memorial Foundation	5,000	5,000	86,303	91
Callaway Foundation, Inc.	4,996	4,846	80,332	99
Z. Smith Reynolds Foundation, Inc.	5,100	4,834	80,610****	120****
William R. Kenan, Jr. Charitable Trust	4,121	4,504	96,019	none
The George Gund Foundation	3,842	4,340	74,660	170
Claude Worthington Benedum Foundation	4,160	4,240	74,000	90
The John A. Hartford Foundation, Inc.	3,424	4,195	104,668	119
El Pomar Foundation	1,960	3,271	70,315	72
Charles Hayden Foundation	2,687	3,267	71,240	79
Howard Heinz Endowment	1,985	3,260	77,136	48
Mary Flagler Cary Charitable Trust	4,017	3,230	63,106	152
The Henry Luce Foundation, Inc.	3,264	2,935	71,936	53
Moody Foundation	3,863	2,906	178,000*	125*
Smith Richardson Foundation, Inc.	3,157	2,829	67,561	65
Research Corporation	2,336	2,527	45,171	60
The John and Mary R. Markie Foundation	2,291	2,217	44,860	104
William T. Grant Foundation	2,000	1,678	51,669	51
The Danforth Foundation	1,811	1,533	98,734	127
Elliott White Springs Foundation	1,383	1,101	18,594	29
<b>Totals.....</b>	<b>\$649,283</b>	<b>\$678,601</b>	<b>\$12,681,995</b>	<b>\$17,269</b>

\*Estimate.

\*\*Plus \$3.1 million capital gains on sale of closely held corporate stock.

\*\*\*1977 figures.

\*\*\*\*Includes assets and excise taxes of two trusts which feed the foundation.

## The Company Contributions Dollar, 1977 and 1976

	1977—814 Companies		1976—771 Companies	
	(\$ Thousands)	Percent of Total	(\$ Thousands)	Percent of Total
<b>Health and Welfare:</b>				
Federated drives: United Ways and the like .....	\$128,511	21.6%	\$116,159	22.4%
National health agencies .....	4,763	0.8	4,336	0.8
National welfare agencies .....	5,409	0.9	4,401	0.9
<b>Hospitals:</b>				
Capital grants .....	23,532	4.0	20,965	4.0
Operating grants .....	5,433	0.9	4,765	0.9
Employee matching gifts for hospitals .....	262	*	164	*
Youth agencies .....	19,216	3.2	16,703	3.2
Other local health and welfare agencies .....	25,027	4.2	20,404	3.9
Subcategory not identified .....	15,367	2.6	15,168	2.9
<b>Total health and welfare .....</b>	<b>227,620</b>	<b>38.3<sup>a</sup></b>	<b>203,055</b>	<b>39.3<sup>a</sup></b>
<b>Education:</b>				
<b>Higher education institutions:</b>				
Unrestricted operating grants .....	34,780	5.9	32,106	6.2
Student financial aid .....	12,663	2.1	9,665	1.9
Departmental and research grants .....	31,559	5.3	29,012	5.5
Capital grants (including endowment) .....	31,067	5.2	30,355	5.8
Employee matching gift programs .....	22,449	3.8	16,992	3.3
Grants to state and national fund-raising groups .....	10,923	1.8	5,332	1.0
<b>Pre-college educational institutions .....</b>	<b>6,434</b>	<b>1.1</b>	<b>6,413</b>	<b>1.2</b>
Scholarships and fellowships .....	18,711	3.1	15,852	3.1
Education-related organizations .....	13,715	2.3	9,755	1.9
Other .....	15,226	2.6	14,929	2.9
Subcategory not identified .....	14,776	2.5	15,335	3.0
<b>Total education .....</b>	<b>212,309</b>	<b>35.7</b>	<b>189,761</b>	<b>33.1<sup>a</sup></b>
<b>Culture and Art:</b>				
Music .....	7,432	1.3	5,656	1.1
Museums .....	11,819	2.0	10,635	2.0
Public TV/Radio .....	9,493	1.6	6,422	1.2
Arts funds or councils .....	4,536	0.8	3,624	0.7
Theaters .....	3,445	0.6	2,279	0.4
Cultural centers .....	5,308	0.9	4,421	0.8
Dance .....	774	0.1	561	0.1
Libraries (other than academic) .....	2,011	0.3	1,245	0.2
Employee matching gifts for culture and art .....	191	*	61	*
Other .....	3,583	0.6	3,637	0.7
Subcategory not identified .....	4,576	0.8	3,622	0.7
<b>Total culture and art .....</b>	<b>53,168</b>	<b>9.0</b>	<b>42,173</b>	<b>8.2<sup>a</sup></b>
<b>Civic Activities:</b>				
Community improvement .....	26,321	4.4	21,946	4.2
Environment and ecology .....	15,097	2.5	7,940	1.5
Justice and law .....	3,122	0.5	2,468	0.5
Housing and urban renewal .....	2,655	0.5	2,854	0.6
Research organizations other than academic .....	7,016	1.2	5,599	1.1
Other .....	9,809	1.7	10,992	2.1
Subcategory not identified .....	4,269	0.7	5,218	1.0
<b>Total civic activities .....</b>	<b>68,289</b>	<b>11.5</b>	<b>57,011</b>	<b>11.0</b>
<b>Other:</b>				
Religious activities .....	1,832	0.3	1,010	0.2
Groups devoted solely to economic education .....	7,694	1.3	6,178	1.2
Groups in U.S. whose principal objective is aid to other countries .....	5,803	1.0	3,672	0.7
Activities other than above .....	15,560	2.6	14,530	2.8
Subcategory not identified .....	1,593	0.3	2,042	0.4
<b>Total other .....</b>	<b>32,481</b>	<b>5.5</b>	<b>27,707</b>	<b>5.4<sup>a</sup></b>
<b>Grand total .....</b>	<b>593,867</b>	<b>100.0</b>	<b>516,228</b>	<b>100.0</b>

\*Less than 0.1 percent.

<sup>a</sup>Subcategory percentages do not add up to this total because of rounding.

Source: Annual Survey of Corporate Contributions, The Conference Board Report, 1977

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**Corporate Giving**

<b>Year</b>	<b>Net Income Before Taxes<sup>1</sup> (millions)</b>	<b>Amount (millions)</b>	<b>As % of Net Income Before Taxes</b>
1956	\$ 48,600	\$ 418	0.86
1957	46,900	419	0.89
1958	41,100	395	0.96
1959	51,600	482	0.93
1960	48,500	462	0.93
1961	48,600	512	1.05
1962	53,600	595	1.11
1963	57,700	657	1.14
1964	64,700	729	1.13
1965	75,200	785	1.04
1966	80,700	805	1.00
1967	77,300	830	1.07
1968	85,600	1,005	1.17
1969	83,400	1,055	1.26
1970	71,500	797	1.11
1971	82,000	865	1.05
1972	96,200	1,009	1.05
1973	113,800	1,174	1.01
1974	126,900	1,200	0.95
1975	123,500	1,202	0.97
1976	156,900	1,465(est.)	0.93
1977	172,100	1,700(est.)	0.98
1978	202,600	2,000(est.)	1.01

<sup>1</sup>Reflects total consolidated corporate net income before taxes.

Sources: Department of Commerce, Internal Revenue Service, The Conference Board, AAFC estimates

Revised—April, 1979

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### Distribution of Corporate Contributions

	1977 614 companies (millions)		1976 773 companies (millions)		1975 736 companies (millions)	
Health and Welfare .....	\$227.6	38.3%	\$203.1	39.1%	\$180.0	41.2%
Education .....	212.3	35.7	186.2	36.5	153.4	35.1
Culture and Art .....	53.2	9.0	42.2	8.1	33.0	7.6
Civic Activities .....	68.3	11.5	57.0	11.0	45.2	10.3
Other .....	32.5	5.5	27.7	5.3	25.2	5.8
	<u>\$593.9</u>	<u>100.0%</u>	<u>\$516.2</u>	<u>100.0%</u>	<u>\$435.8</u>	<u>100.0%</u>

Source: Annual Survey of Corporate Contributions, The Conference Board Report, 1977



### Giving to Higher Education

	Business				
1972-73					14.3%
1973-74					15.8
1974-75					16.5
1975-76					15.7
1976-77					16.7
1977-78					16.7
	Religion				
1972-73					4.4%
1973-74					5.2
1974-75					5.2
1975-76					5.4
1976-77					5.1
1977-78					5.2
	Alumni				
1972-73					23.9%
1973-74					22.7
1974-75					22.5
1975-76					24.4
1976-77					23.9
1977-78					23.5
	Non-Alumni				
1972-73					25.8%
1973-74					24.8
1974-75					23.9
1975-76					23.9
1976-77					24.2
1977-78					25.2
	Foundations				
1972-73					23.4%
1973-74					23.9
1974-75					23.0
1975-76					22.8
1976-77					20.9
1977-78					20.5
	Other				
1972-73					7.2%
1973-74					7.6
1974-75					8.9
1975-76					8.1
1976-77					9.2
1977-78					8.9

Source: Council for Financial Aid to Education

# Large Gifts to Education--1978

Donor/Amount/Recipient

315

Mr. & Mrs. Percy Kiersteads Hudson--\$12 million to  
*Columbia University*

C. Paul Stocker--\$7.5 million to  
*Ohio University*

Robert W. Woodruff--\$7 million to  
*Atlanta University*

Clifton Bethany Powell--\$6 million to  
*Howard University*

Charles Stewart Mott Foundation--\$6 million to  
*University of Michigan*

United States Shoe Company--Land valued at  
\$6 million to  
*Xavier University (Ohio)*

Anonymous--\$5 million to  
*Cornell University*

Charles A. Collis--\$5 million to  
*Dartmouth College*

Connelly Foundation--\$4.8 million to  
*Villanova University*

Anonymous--\$4 million to  
*University of Denver*

Mrs. Edward R. Tinker--\$4 million to  
*Hotchkiss School*

Dow Foundation--\$4 million to  
*University of Michigan*

Valois Egbert--\$3.6 million to  
*University of Utah*

W. K. Kellogg Foundation--\$3.5 million to  
*Utah State University*

Walter Schroeder Foundation--\$3.5 million to  
*Marquette University*

Norris Foundation--\$3.5 million to  
*University of Southern California*

Cecil and Ida Green--\$3.4 million to  
*University of Texas*

Pew Memorial Trust--\$3 million to  
*Drexel University*

Mr. & Mrs. Joseph M. Bryan--\$3 million to  
*Duke University*

Lila Acheson Wallace--\$3 million to  
*Julliard School in New York*

Starr Foundation--\$3 million to  
*New York University*

Lowell Thomas--\$2.5 million to  
*University of Denver*

G. Ellsworth Huggins--\$2.5 million to  
*University of Missouri*

Ford Foundation--\$2.5 million to  
*United Negro College Fund*

Duke Endowment--\$1.8 million to  
*Duke University Medical Center*

Jesse and Nellie Shwayder Foundation--  
\$1.7 million to  
*University of Denver*

El Pomar Foundation--\$1.5 million to  
*Colorado College*

Anonymous--\$1.5 million to  
*College of William and Mary*

Anonymous--\$1.5 million to  
*University of Denver*

Gardner and Florence Call Cowles Foundation--  
\$1.5 million to  
*Grinnell College*

Carroll T. Brown--\$1.5 million to  
*University of Iowa*

Commonwealth Fund--\$1.5 million to  
*Johns Hopkins University*

Harry A. and Margaret D. Towsley Foundation--  
\$1.5 million to  
*University of Michigan*

Stapan Chemical Company of Northfield, Ill.--  
\$1.5 million to  
*University of Notre Dame*

Commonwealth Fund--\$1.5 million to  
*University of Rochester*

Samuel I. Newhouse Foundation--\$1.5 million to  
*Rutgers University*

John Levey--\$1.5 million to  
*The Smithsonian Institution*

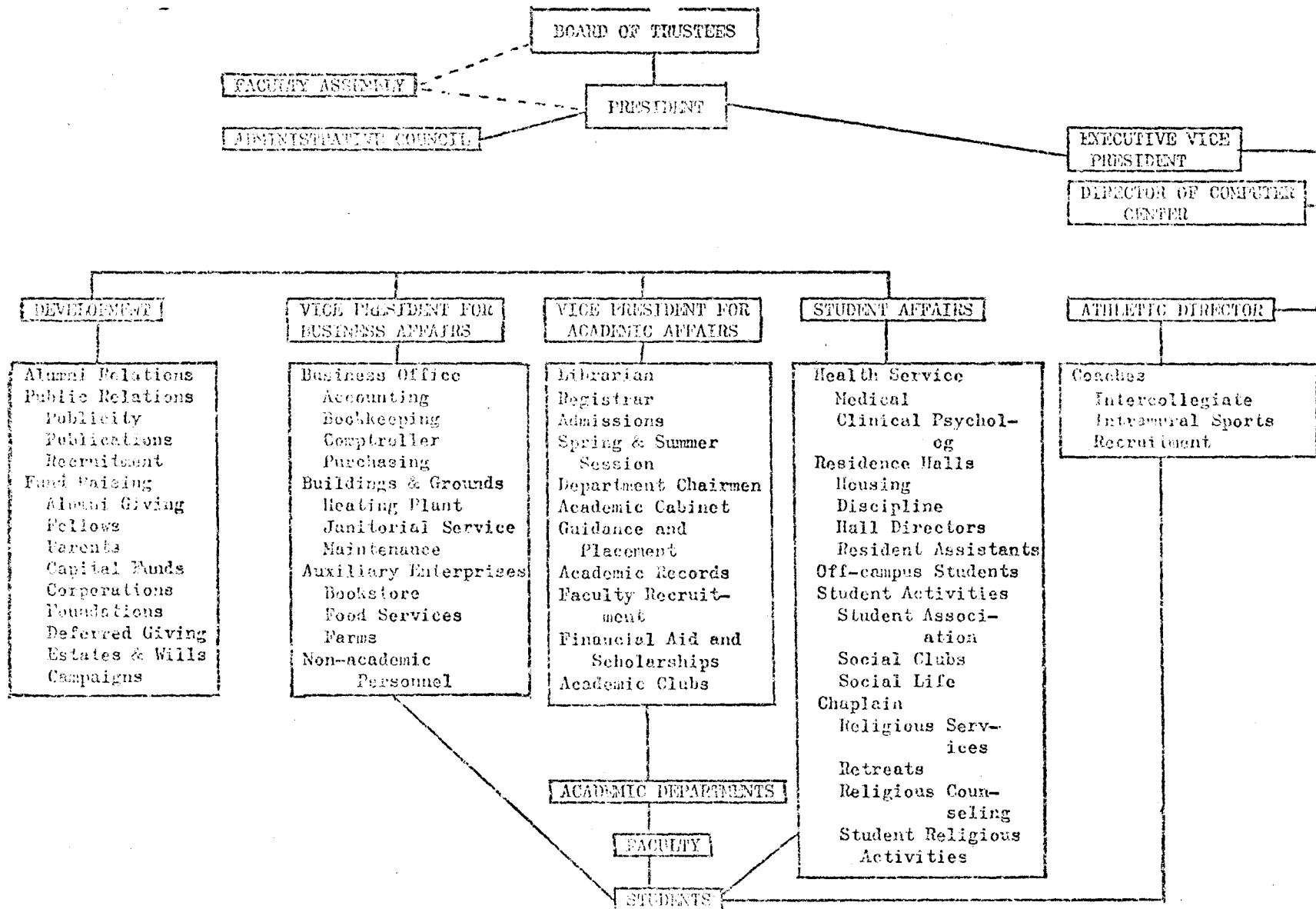
Robert A. Weich Foundation--\$1.5 million to  
*University of Denver*

W. K. Kellogg Foundation--\$2.7 million to  
*Gallaudet College*

## APPENDIX D

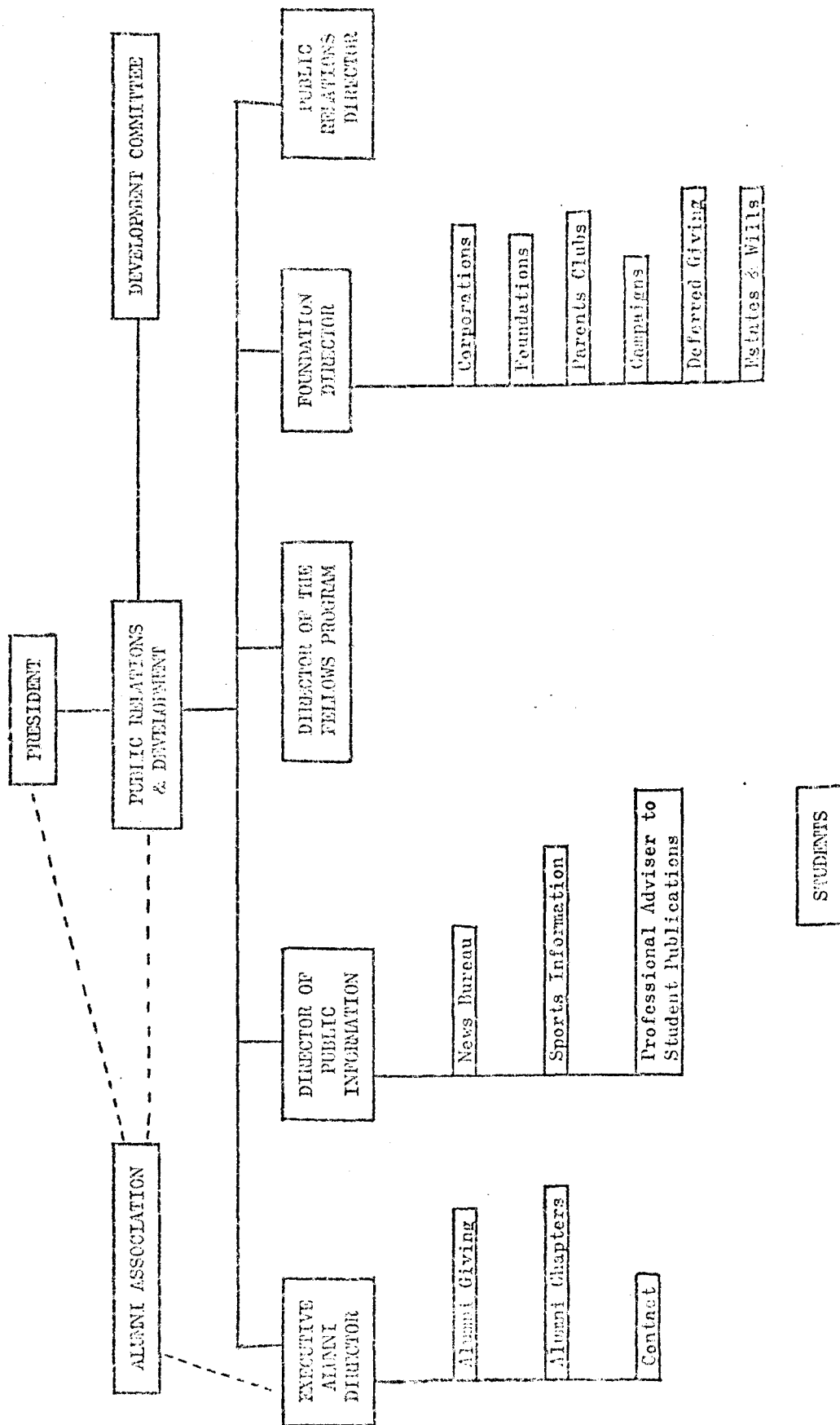
ORGANIZATIONAL CHARTS AND JOB  
DESCRIPTIONS: DEVELOPMENT AND  
PUBLIC RELATIONS IN HIGHER EDUCATION



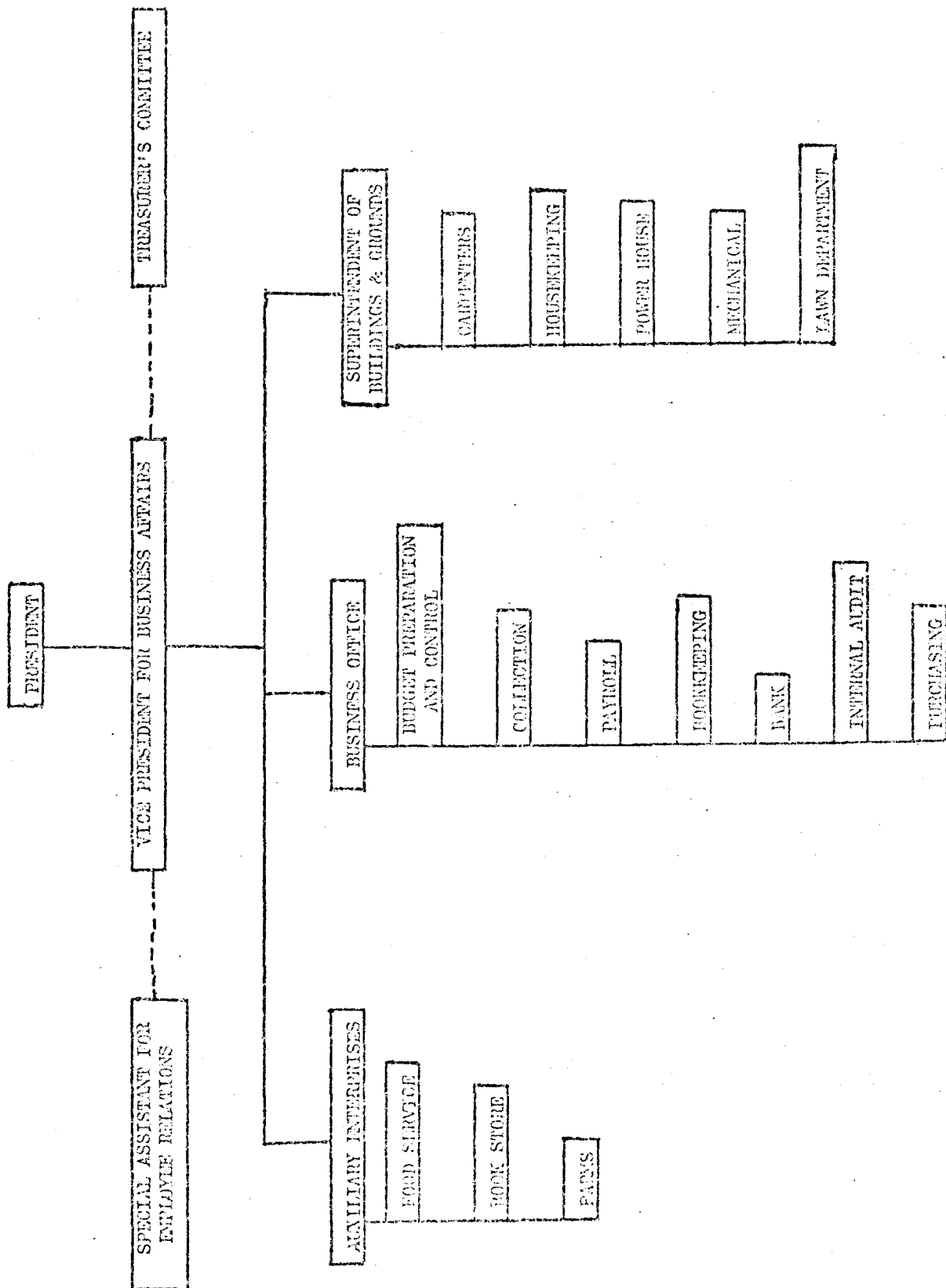


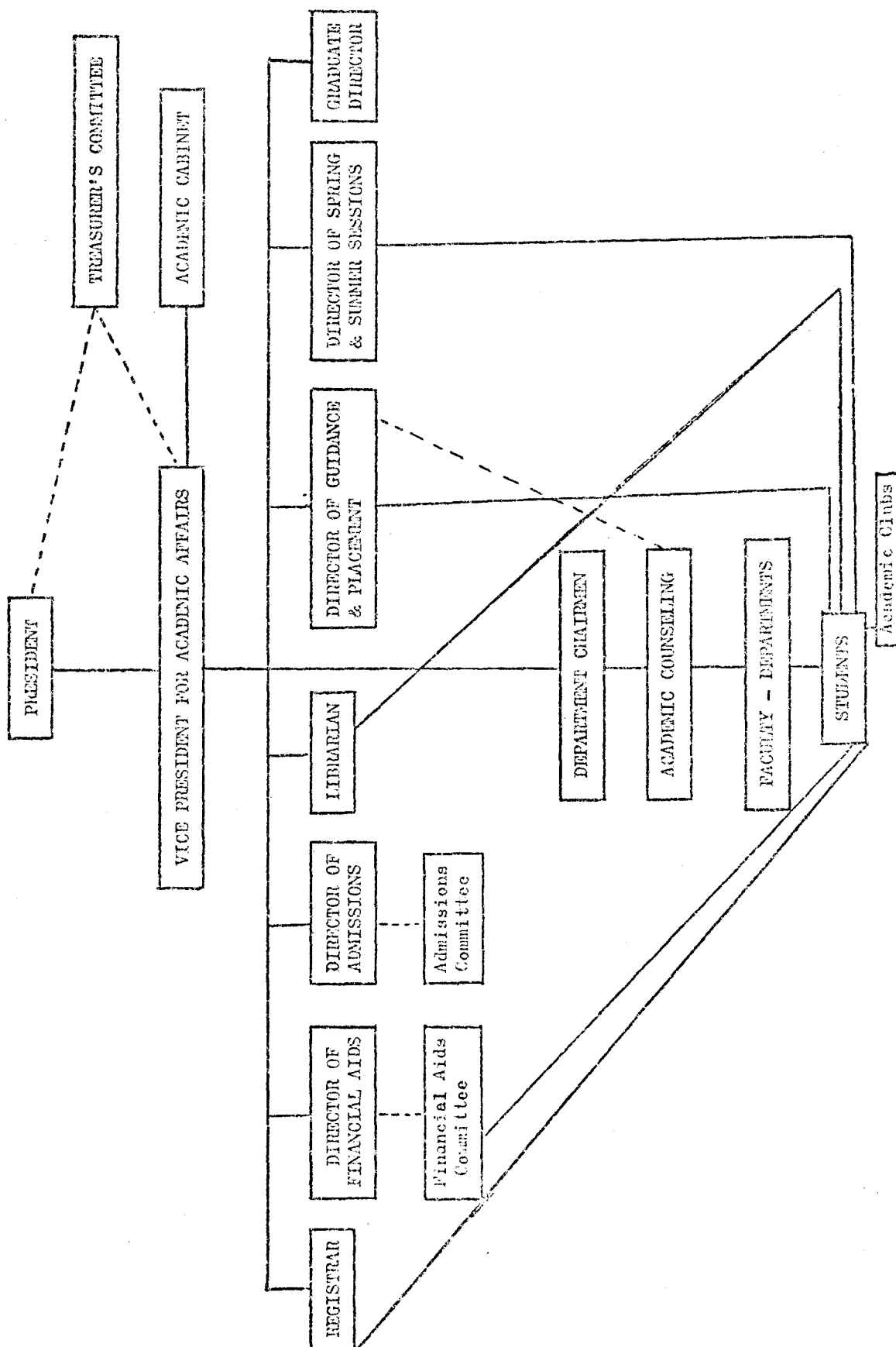
Note: ————— is Administrative line  
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ADMINISTRATIVE FLOW CHART I

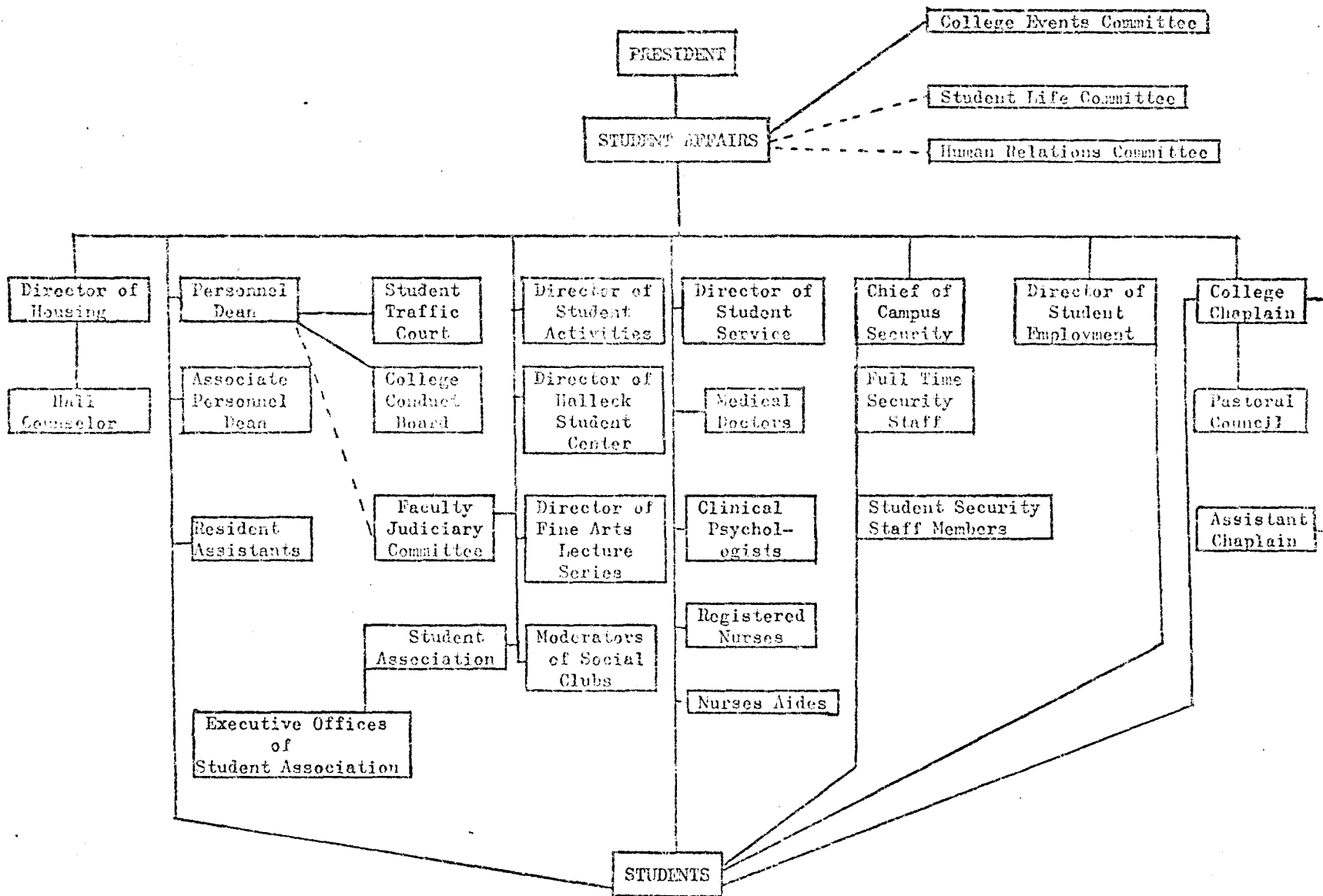


STUDENTS

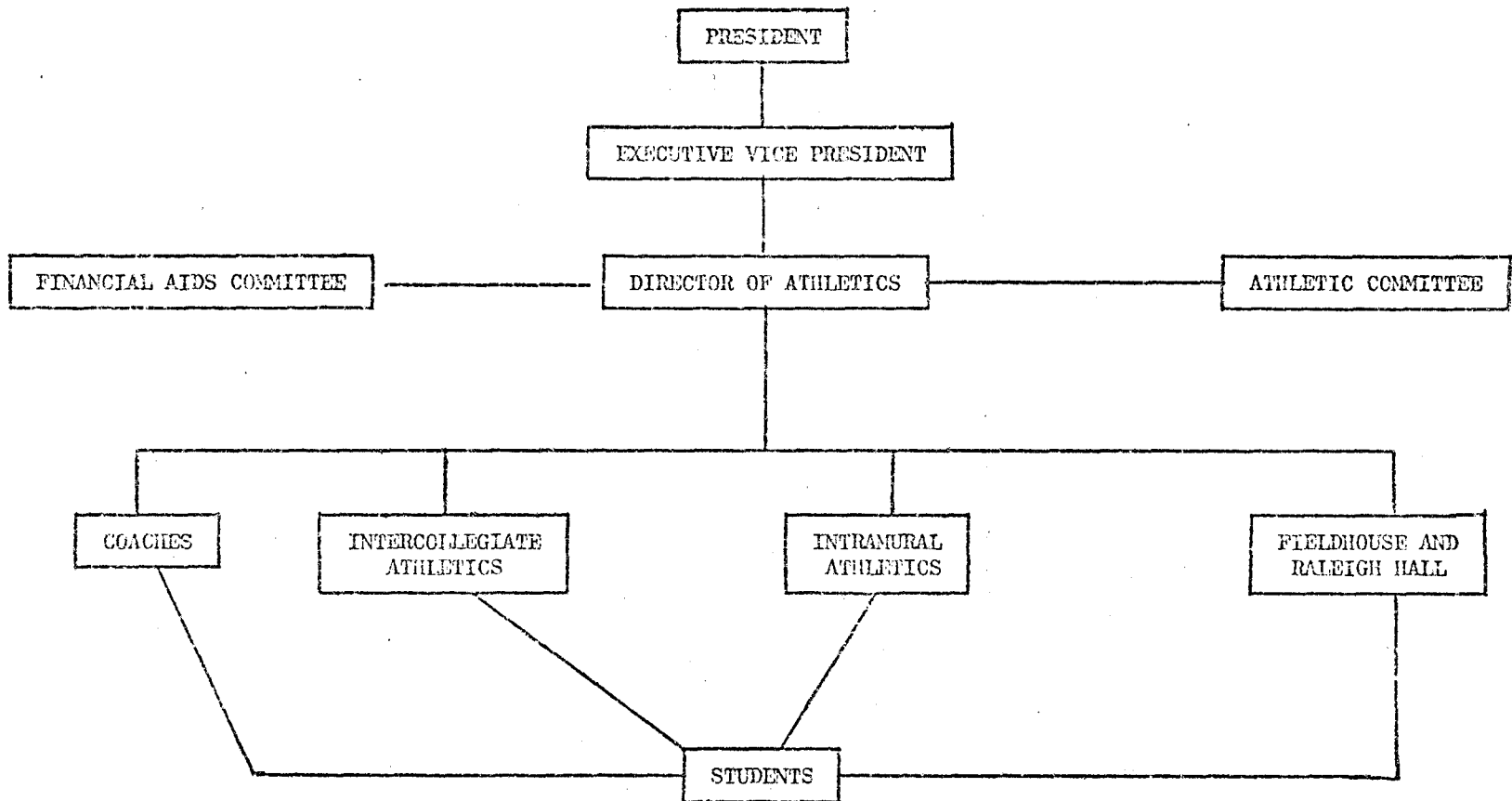




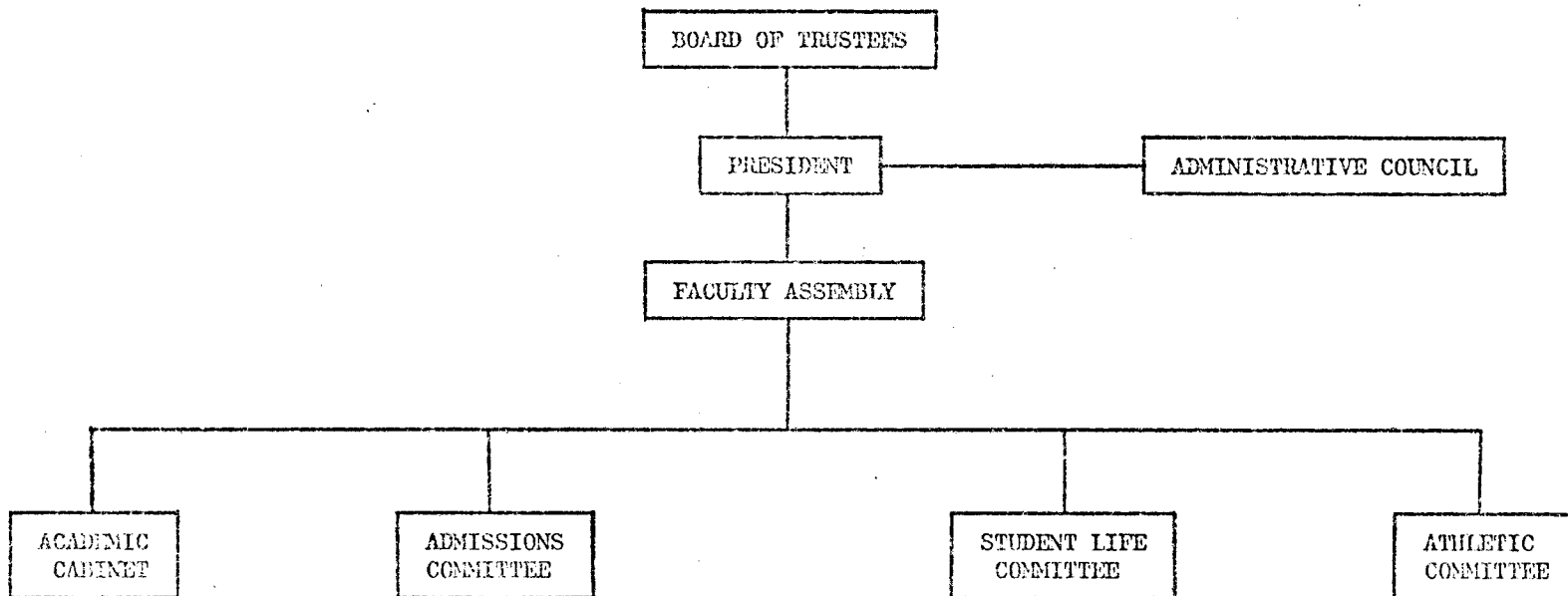
ADMINISTRATIVE FLOW CHART - IV



ADMINISTRATIVE FLOW CHART - V



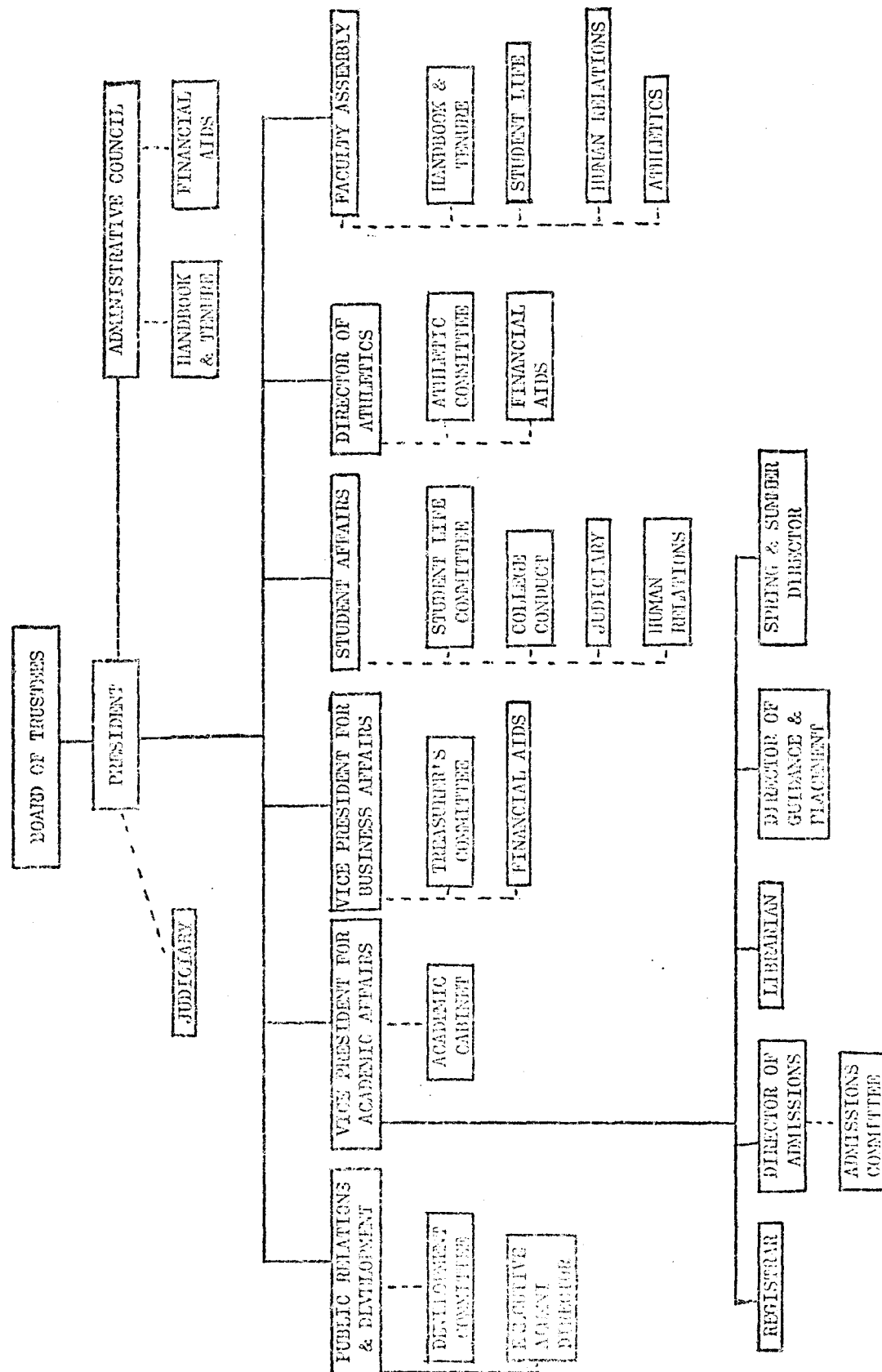
ADMINISTRATIVE FLOW CHART - VI



FACULTY PARTICIPATION IN COLLEGE  
GOVERNMENT - POLICY MAKING FUNCTIONS

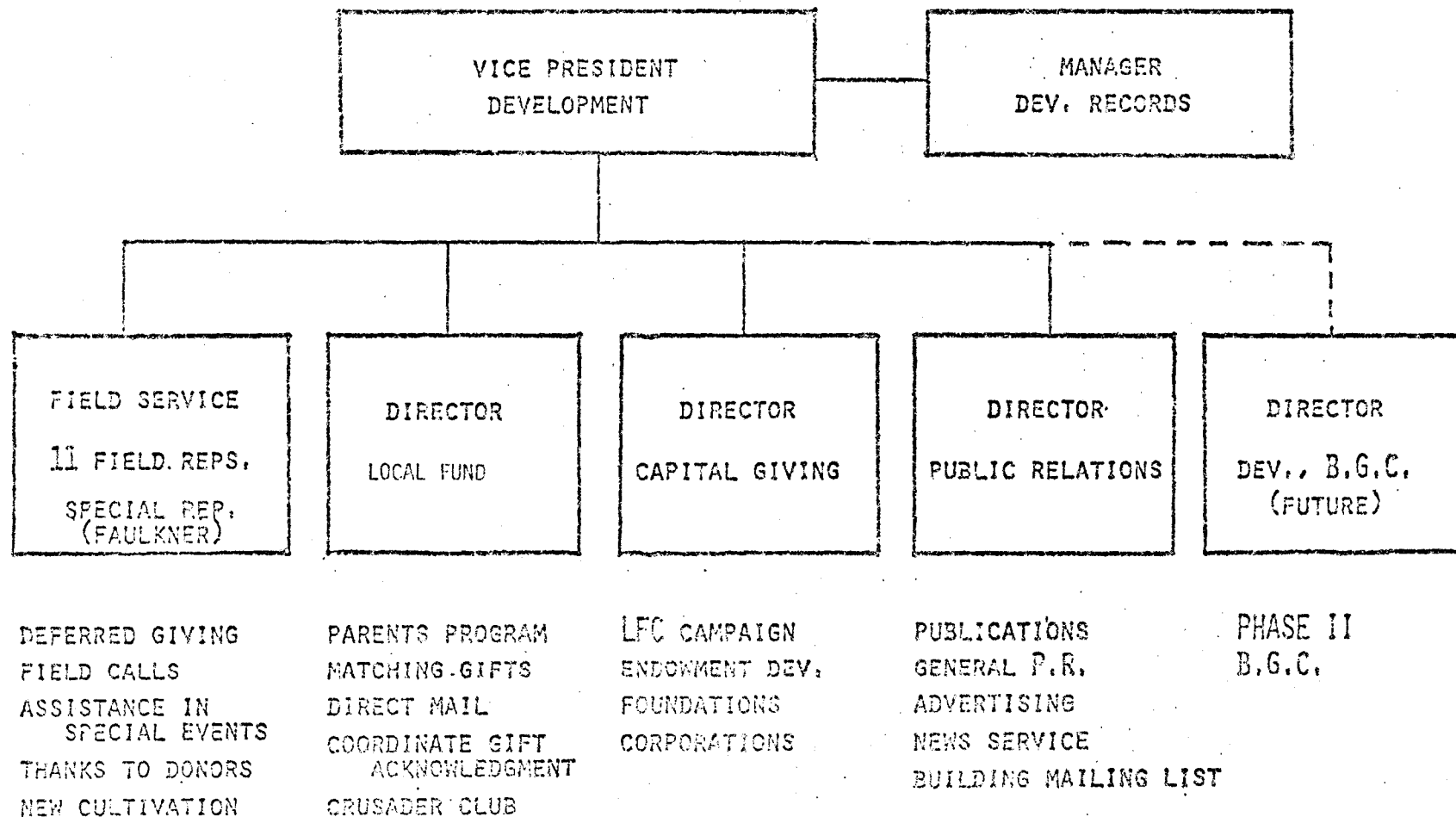
CHART I

FACULTY PARTICIPATION IN COLLEGE GOVERNMENT  
ADVISORY FUNCTIONS CHART II

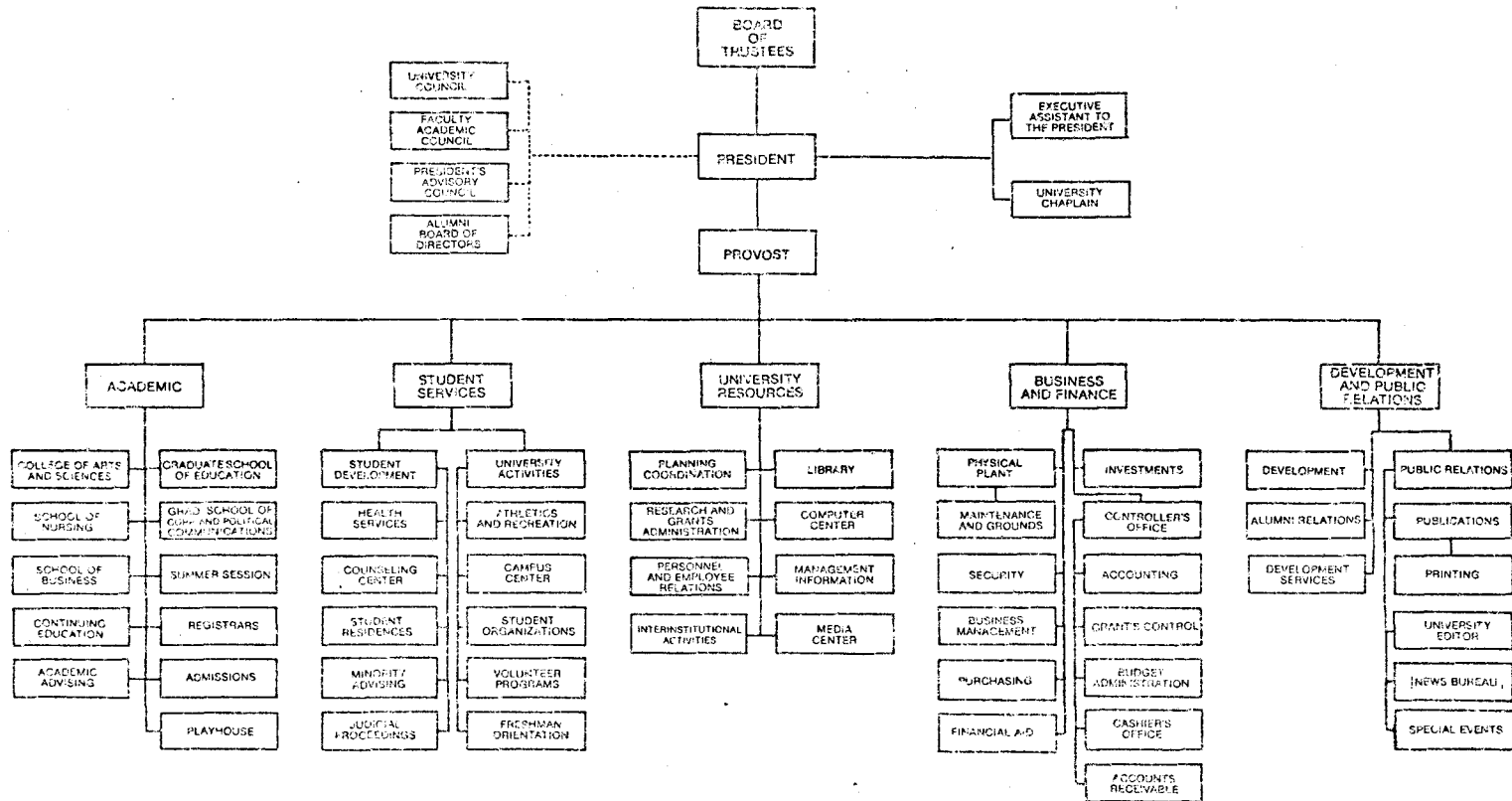




# DEVELOPMENT DEPARTMENT ORGANIZATION



# UNIVERSITY ORGANIZATIONAL CHART



OFFICE OF THE PROVOST  
8-1-78

JOB DESCRIPTION  
VICE PRESIDENT FOR DEVELOPMENT

Position Summary -- To be responsible to the President for the management and conduct of the Development affairs of the College, including all fund raising activities, public relations, and the news media relations.

I. MANAGEMENT RESPONSIBILITIES

1. Field Service and donor relations
2. Public Relations and New Service
3. Foundation and corporate giving
4. Development Records
5. Development of new gift programs
6. Coordinate all solicitation of major gifts
7. Annual fund giving programs
8. Capital giving programs

II. PLANNING RESPONSIBILITIES

1. To prepare annual goals and objectives for the department including the personal goals of the Vice President for Development.
2. To prepare long range goals and planning for the department.
3. To prepare periodic staff studies on various aspects of the work of the department, to show cost effectiveness, efficiency and productivity. (Examples are: advertising, effectiveness of publications, mailing list, organization of field service, etc.)

III. SPECIFIC TASKS

1. To prepare annual budgets for all areas of the Development Department and to be responsible for the control of expenditures.
2. To report to the Development Committee of the Board of Trustees, and to the Board of Trustees as the President shall direct.
3. To work with the Vice President for Finance for the negotiation of major deferred gifts and in consummating major gift transactions.
4. To select, train, and equip competent and suitable personnel for the department.
5. To initiate and obtain approval for policies regarding the development work and the current and deferred giving transactions.
6. To determine and provide the appropriate publications and other tools for field representatives and other areas of the development program.

7. To serve as a member of the Senior Administrative Cabinet.
8. To provide a flow of information between the Development Office to and from field representatives, resulting in mutual awareness of the correct needs, problems, procedures and developments on the campus and in the field.
9. To provide information and encourage general understanding and appreciation for the work of the Development Department among faculty, staff, and students on the campus.
10. To work closely with the Director of the Billy Graham Center and the Development committees of the Graham Center in all fund raising activities.

## ASSISTANT VICE PRESIDENT FOR DEVELOPMENT

## I. INSTITUTIONAL ROLES

The Assistant Vice President for Development is responsible to the Vice President for Development in the following areas:

1. To coordinate all Direct Mail functions to non-alumni constituencies.
2. To act as a Parents Coordinator for on and off campus events involving parents.
3. To coordinate all special giving clubs and groups in fund raising efforts.

## II. SPECIFIED FUNCTIONS

## 1. Direct Mail Coordination

- a. To coordinate and conduct all non-alumni solicitation by mail for donations.
- b. To consolidate and maintain all non-alumni lists used for solicitation by mail.
- c. To delineate and separate the various direct mail markets into constituency groups.
- d. To coordinate the gathering of "new names" to our lists, and their cultivation.
- e. Coordinate the acknowledgement of all gifts to the college.

## 2. Parents Coordinator

- a. Maintain current and past parent lists as separate constituencies, and develop full programs of cultivation and solicitation.
- b. Coordinate Parents Orientation Activities, Parents Weekend, Commencement, and participation in off-campus activities (e.g. clubs, sports events, concerts, etc.)
- c. Coordinate leadership by Parents Advisory Council.
- d. Edit "Partnerships", the Parents newsletter.

## 3. Special Giving Clubs/Groups Coordination

- a. Act as Coordinator of the Crusader Club, including the newsletter, banquets, and fund-raising activities.
- b. Develop and carry out a program for the Key list.
- c. Coordinate all fund raising activities with the Faculty/Staff/Administration group.
- d. Coordinate the continued cultivation and solicitation of the local business community.

- e. Coordinate efforts in the "Matching Gifts" sector.
- f. To act as liason with all other groups on campus using our fund raising mailing lists, including scheduling and approval of plans.

### III. OTHER SPECIAL DUTIES AND MAJOR RESPONSIBILITIES

- 1. Assist VP Development in other planning for overall Development and Public Relations strategy.
- 2. Serve on other committees as needed for overall Development input to College decisions.
- 3. Act as chief of Development Offices in the absence of the Vice President.
- 4. To prepare an annual statement of goals and objectives for the area of responsibility to be approved by the Vice President for Development.

- IV. The Assistant Vice President for Development is appointed for twelve months with one month vacation.

## ASSOCIATE DIRECTOR OF DEVELOPMENT

I. FOUNDATION/CORPORATION RESPONSIBILITIES

1. To monitor the giving of the major foundations and corporations and conduct basic research to discover new potential sources of support.
2. To maintain files of corporations and foundations who have supported or have potential for support.
3. To provide a flow of information on potential major donors within the development staff and the faculty and administration, to match the interests of these donors with the needs of the college.
4. To write, or coordinate the writing of grant proposals to foundations and corporations, and make personal presentations when appropriate.
5. To follow through with reporting to donors, continued communication and cultivation after a grant has been received.
6. To conduct a long range program of communication and cultivation with foundations and corporations for their interest in and support of the College.

II. OTHER MAJOR DONOR RESPONSIBILITIES

1. Working with the Vice President for Development, to communicate with and cultivate individuals with potential of major gifts, and as appropriate seek current major gifts from individuals for capital projects for the College.
2. To serve as a key development officer in campaigns for new buildings, endowments, and other programs. Specially, to become personally involved in the current program to construct and endow the proposed Lifetime Fitness Center.

III. PLANNING RESPONSIBILITIES

1. To prepare an annual statement of goals and objectives for the area of responsibility to be approved by the Vice President for Development
2. To participate in the long range planning for the Development Department of the College.
3. To conduct a continuous study of the foundation and corporation charitable giving scene and plan approaches whereby the College may benefit from these donor programs.

JOB DESCRIPTION  
DIRECTOR OF PUBLIC RELATIONS

I. Institutional role

The Director of Public Relations is responsible to the Vice President for Development for:

1. Advancing the image of the college through awareness of its program among its various constituencies.
2. Interpreting public opinions of the college and advising with respect to Institutional decisions which affect the college image.
3. Implementing a corporate identity program through institutional media with appropriate graphics.
4. Assisting the development staff by providing resource materials for encouraging prayerful interest and financial support from the college publics.

II. Specific functions

1. Prepare in cooperation with respective departments institutional publications intended for off-campus audiences.
2. Distribute press releases of college programs, events, and personnel to appropriate media.
3. Process advertising for college programs in non-college periodicals.
4. Maintain relationships with the local community through groups such as the City government, Chamber of Commerce, Community Association, and other civic groups.
5. Operate a speakers bureau to provide college personnel for community organizations.
6. Reply to inquiries of a general nature about the college, providing information and materials as appropriate.
7. Plan and produce institutional radio/TV broadcasts (other than those produced by WETN for its own schedule, or those produced within an academic program as laboratory experience or as a service to non-college clients).
8. Plan and coordinate preparation of other public relations materials, such as institutional film productions and record albums.
9. Assist in coordinating major college functions such as new building dedications, institutional anniversaries, and presidential inaugurations.
10. Assist in building, maintaining, and updating the college mailing list.



III. The following are responsible to the Director of Public Relations:

News Service Manager

Department secretary

Sports Information Director (through News Service Manager)

Student writers and assistants (through News Service Manager)

IV. The Director of Public Relations is appointed for twelve months with a two-week vacation. In his absence, his responsibilities are assumed by the News Service Manager.

JOB DESCRIPTION  
FIELD REPRESENTATIVE

The Field Representative is directly responsible to the Vice President for Development and is appointed for twelve months with three weeks of vacation and one week of Bible conference time.

DUTIES

1. To represent all aspects of the College, academically, spiritually, and financially to friends in states assigned, and to provide service and information as appropriate in the name of the College.
2. To analyze data on field cards and then to make personal calls on individuals, foundations, and businesses to cultivate interest and support.
3. To present the estate planning, deferred giving program of the College in addition to immediate needs; and to cooperate with the Vice President for Development and/or the Vice President for Finance in concluding special contracts and estate arrangements in his area.
4. To follow up on leads produced by advertising and to make specific contacts suggested by the Vice President for Development.
5. To make contacts with prospective students when and as directed.
6. To report daily contacts to the Vice President for Development on specified forms, to submit weekly summary reports (including expenses), and to maintain special data on a list of the "Top 50" cultivation prospects in his assigned territory.
7. To assist College administrators and faculty when they are in his area and to cooperate with alumni and alumni clubs, and to represent the College at appropriate events as requested.
8. To attend and participate in the Commencement activities on campus and the Homecoming or Parents' Day activities in the Fall, and to participate in an annual Field Representatives' conference for instruction and review.

## JOB DESCRIPTION

### ASSISTANT DIRECTOR, NATIONAL CAMPAIGN DEVELOPMENT OFFICER II

The Assistant Director will assist the Director of the National Campaign in the identification, cultivation, and solicitation of 5000+ alumni and friends with the capacity to give between \$10,000-\$1,000,000.

### RESPONSIBILITIES

Staff volunteer committees. Assume responsibility for working with a portion of the 50+ committees of alumni volunteers. Provide materials for prospect review (donor records, interests); determine strategies for volunteer approaches to donors; where necessary, participate in solicitations. (50% of time)

Oversee visit program. Administer program whereby several hundred alumni and friends will be brought to campus with their volunteer solicitors to cultivate their interests in the college and to discuss gift commitments. (30% of time)

Faculty contact for Area Campaign. Contact faculty and coordinate their travel with opportunities to meet with potential donors. Assist faculty in identifying prospects for priority projects and work with alumni volunteers to put faculty in touch with interested donors. (10% of time)

Oversee records and production of proposals. Work with researchers and writers in Office of University Development to update and expand briefing dossiers on prospects or to formulate proposals for donors. (10% of time)

Travel may be required to execute responsibilities.

### SUPERVISION

Direction and supervision will be exercised by the Director of the National Campaign. The Assistant Director will supervise one secretary (A-15).

### QUALIFICATIONS

Bachelor's degree, with ability to communicate effectively and persuasively.

Development experience and work with the organization of volunteer groups (2 years minimum).

Writing skills and successful gift solicitation record are highly desirable.

APPROVAL SHEET

The dissertation submitted by Louis S. Coloia, Jr.  
has been read and approved by the following committee:

Dr. Melvin P. Heller, Director  
Professor, Administration and Supervision, Loyola

Dr. Robert L. Monks  
Assistant Professor, Administration and Supervision, Loyola

Dr. Thomas J. Bennett  
Professor, Political Science and  
Director of University Research Services, Loyola

The final copies have been examined by the director of this dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

December 4, 1979  
Date

M. P. Heller  
Director's Signature